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ABSTRACT

The United States House of Representatives' Subcommittee on Postsecondary Education met for 3 days for a hearing, one of a series of hearings on the reauthorization of the Higher Education Act of 1965, on this occasion to hear testimony on that Act's Title IX. Title IX focuses on identifying and providing assistance for students to pursue graduate education through fellowships. It also aids disadvantaged students in receiving legal training and provides for clinical experiences for law students. On the first day witnesses testified regarding the reauthorization of this title, suggested revisions to the Harris, Javits, and National Need Fellowship programs, the Department of Education's plan to combine all the Higher Education Act graduate fellowship programs into one national graduate fellowship program and the general condition of graduate education in the United States. On the second day witnesses testified regarding the TRIO programs, the State Student Incentive Grant program, and the Veterans Education Outreach Program. On the final day of the hearing witnesses testified regarding the reform and improvement of campus-based student financial assistance programs: the Supplemental Educational Opportunity Grant program, the College Work-Study program, and Perkins Loans. Witnesses who appeared included officials from the Department of Education, representatives of national associations for various types of education professionals, executives from postsecondary education institutions nation-wide, and a graduate student. Included are the prepared statements of the witnesses, statements of witnesses who did not appear in person, and many supplemental materials and correspondence. (JB)

HEARINGS ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965: TITLE IX, TRIO AND STATE STUDENT INCENTIVE GRANTS, AND CAMPUS-BASED PROGRAMS

HEARINGS

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

OF THE

COMMITTEE ON EDUCATION AND LABOR
HOUSE OF REPRESENTATIVES

ONE HUNDRED SECOND CONGRESS

FIRST SESSION

HEARINGS HELD IN WASHINGTON, DC, JUNE 13, 18, AND 26, 1991

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HEARING ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

THURSDAY, JUNE 13, 1991

House of Representatives,
Subcommittee on Postsecondary Education,
Committee on Education and Labor,
Washington, DC.

The subcommittee met, pursuant to notice, at 9:30 a.m., Room 2175, Rayburn House Office Building, Hon. William D. Ford [Chairman] presiding.

Members present: Representatives Ford, Hayes, Lowey, Payne, Andrews, Reed, Roemer, Coleman, Klug, and Gunderson.

Staff present: Thomas Wolanin, staff director; Diane Stark, legislative associate; Gloria Gray-Watson, administrative assistant; Rose DiNapoli, minority staff director; and Jo-Marie St. Martin, minority counsel.

STATEMENT OF HON. WILLIAM D. FORD, A REPRESENTATIVE IN CONGRESS FROM THE STATE OF MICHIGAN

Today we convene the 21st hearing of 46 that the Subcommittee on Postsecondary Education is conducting on the reauthorization of the Higher Education Act. Today's hearing is on Title IX of that act. Title IX focuses on identifying and providing assistance for students to pursue graduate education through fellowships. Title IX also aids disadvantaged students in receiving legal training and provides for clinical experiences for law students.

The witnesses before us today will present proposals for the reauthorization of Title IX, including suggested revisions to the Harris, Javits, and National Need Fellowship Programs. We will also hear from the Department of Education about the administration's proposal to combine all the Higher Education Act Graduate Fellowship Programs into one National Graduate Fellowship Program. Finally, we will hear testimony regarding the general condition of graduate education in the United States.

I look forward to hearing the comments of our witnesses and I am hopeful that the testimony that we hear today will assist us in providing graduate assistance to meet the needs of our Nation.

Mr. Roemer. [presiding] This hearing will come to order. Today we convene the 21st hearing of 46 that the Subcommittee on Postsecondary Education is conducting on the Reauthorization of the Higher Education Act. Today's hearing is on Title IX of that Act. Title IX focuses on identifying and providing assistance for students to pursue graduate education through fellowships. Title IX also aids disadvantaged students in receiving legal training, and provides for clinical experiences for law students.

The witnesses before us today will present proposals for the reauthorization of Title IX, including revisions to the Harris, Javits, and National Need Fellowship programs. We will also hear from the Department of Education about the Administration's proposal to combine all of the Higher Education Act graduate fellowship programs into one national graduate fellowship program. Finally, we will hear testimony regarding the general condition of graduate education in the United States.

I look forward to hearing the comments of our expert witnesses this morning. I am hopeful that the testimony we hear today will assist us in providing graduate assistance to meet the needs of our nation.

With that, I would like to ask the distinguished ranking member, Mr. Coleman, for his opening statements.

Mr. COLEMAN. Thank you, Mr. Chairman. I do have a statement today. If I might, I would like to go through the entire statement, not just place it in the record, because I find the Title IX programs and related issues to be very important. This is an area in which, perhaps too often, we do not focus enough on because all the problems of programs in Title IV on which we concentrate much of our attention. But I think one of the more important aspects of our Higher Education efforts are the Title IX programs. So I want to join with you in welcoming our distinguished guest panelists today who will be testifying. I certainly look forward to their testimony as we examine the role of the Federal Government in addressing the needs of graduate education.

I believe it is in the Nation's best interest to develop our American pool of talent as fully as possible. In graduate education, this translates into Federal policies which promote the highest educational quality and achievement. The Federal Government has a role to play in this, I believe, through supporting programs that provide financial support for the most promising students, enabling them to successfully complete their graduate work.

Secondly, the Federal Government should promote policies at the Federal level, that will lead to institutional reform of university policies in order to help students successfully complete their graduate work.

Thirdly, we should develop effective links between graduate and undergraduate programs to ensure that the Nation's talent pool is as broad as possible. Our graduate education programs produce the people and the knowledge that this nation needs to maintain and sharpen its competitive edge. But despite the fact that the U.S. continues to have the most advanced higher education system in the world, and in which we all take great pride, our technological superiority is in jeopardy.

Our R&D workforce is increasingly sustained by foreign nationals as the number of U.S. citizens pursuing scientific careers declines. Some alarming statistics bear this out. In 1972, 80 percent of the physical science doctorates awarded by U.S. institutions went to U.S. citizens. By 1988, that percentage had dropped to less than 65 percent. In engineering, the percentage of Ph.D.'s earned by U.S. citizens fell from 67 percent in 1972 to 46 percent in 1988.

Foreign students and faculty in industrial sciences certainly bring a rich array of talent with them. But it is a source of talent which will become increasingly unreliable as the demand for their talent, and the capacity of their home countries to support it, increases. The dramatic development of science and technology in the countries with which we compete is evident.

Statistics show that Europe continues to overtake us in investment of civilian R&D. France, Germany, Japan and the United Kingdom are ahead of the United States in the percentage of students who pursue engineering as their first degree. We are only slightly ahead of Japan in the percentage of students who select natural sciences.

It is anticipated that unless we do something, a sharp increase in the demand for Ph.D.'s in the U.S. will outstrip supply. Because of that, we face a shortfall, which could be by as much as 9,600 Ph.D.'s in critical areas in this country between 1995 and year 2010.

So in order to help universities, to help this country utilize its resources better, and to increase the number of U.S. citizens earning Ph.D.'s in critical fields, during the last reauthorization, 5 years ago, I sponsored a new program, the Graduate Assistance in areas of National Need.

That program awards three-year grants on a competitive basis to deserving graduate departments to provide them with the necessary resources to increase the number of students educated in their doctoral programs. Under the program, institutions can receive grants which average about $200,000, and can provide students in return with stipends of up to $10,000 each to support the cost of their tuition, their fees, and other program costs.

We have received a lot of support for this program, especially in the appropriations committee. I am very proud of that, and thankful for all the work of others. I point out Congressman Vin Weber of Minnesota who is on the Committee on Appropriations, who has been very, very helpful in securing our appropriations needs.

Although the program started out under the past administration with less than, shall we say, full support, we did get $7.7 million in fiscal year 1988 that was increased to 12.8 in 1989,and 15.8 in 1990. But last year, the Bush Administration recognized the need for homegrown talent. They proposed, and we passed and appropriated close to $25 million for fiscal year 1991. I am hopeful that the Appropriations Committee will look favorably upon our request for additional funds this year.

Those dollars that I just mentioned add up to about $60 million total, and have enabled 350 new and continuing institutional grants to support 4,000 students. These fellowships are for people who are working towards their Ph.D. So I think we're making an impact.

I am delighted to have several people on the panel today who, I think, will reference this program. Especially Dr. Peter May from the University of Chicago, whose testimony I have already reviewed. His story is of success at the University and what our program has been able to do for and mean to people.

Also, I want to extend a special welcome to Dr. Jerry Pollitt from Yale, Dean of the graduate school at Yale, who I have known and worked with now for several years in an advisory capacity. Yale has taken the lead in trying to address some of the issues regarding graduate education. We are looking forward to hearing from him.

I am reviewing all of the information that was sent to the Chairman and myself regarding Title IX. As the Chairman recently said, there are several proposals, not the least of which is the administration's suggestions to consolidate Title IX into a single program. I have some reservations about that suggestion. I would like to hear from the witnesses regarding this proposal today. I look forward to hearing all of your testimony.

I thank you for your indulgence, Mr. Chairman.

Mr. **Roemer**. Thank you, Mr. Coleman, for those excellent remarks.

Mr. Hayes from Illinois.

Mr. **Hayes**. Thank you, Mr. Chairman. In the interest of time, I am not going to make any long drawn-out statement or anything of that sort. I do want to welcome Dr. May, who is from my district. He teaches at the University of Chicago, as well as head of the School of Mathematics at that great institution.

I would like to express my concern, and I look to hear from all of the witnesses today if time will permit. I am interested in the continuing decline in the number of minority and women students who have the chance to study in graduate courses. I realize that—and I am not trying to say it is because of gender or race. I think it is because of the, it seems to me, the graduate courses are becoming more available for those who have money than those who don't have money.

I would hope that as we continue to try to do what we can in the Federal Government to support these kinds of programs, we see to it that it becomes available to the poor and the underprivileged which need education, too, if we are going to fight the kinds of problems we have in terms of unemployment, which is growing.

I just heard—talked to my district this morning. Part of the great celebration to the Bulls' victory that went on yesterday and last night was to break into stores, and loot them as a part of that celebration in certain areas of Chicago. This is because this is the way some people celebrated. They see it as a chance to get some of what is that that they don't have.

So I think this is something that certainly through education, we could help. We can't do it by depriving people because they don't have. I just want to say that.

Thank you very much, Mr. Chairman.

Mr. **Roemer**. Thank you, Mr. Hayes.

The distinguished gentleman from Rhode Island.

Mr. **Reed**. Mr. Chairman, I am eager to listen to the witnesses testify, and I have no opening statement. Thank you, though.

Mr. **Roemer**. Thank you, Mr. Reed.

I would also like to ask unanimous consent that a statement from Mr. Gaydos from Pennsylvania be entered in the record, without objection.

[The prepared statements of Hon. Joseph M. Gaydos and Hon. Thomas C. Sawyer follow:]

Opening Statement
Joseph M. Gaydos
Postsecondary Education Hearing
June 13, 1991

We currently have several different scholarship and fellowship programs that enable students to pursue a variety of graduate education programs.

I fully understand that in the interest of simplicity, folding virtually all of these individual programs into a select few larger programs may seem like a good idea, however, I don't know if this is necessary or desirable.

Congress originally created the various graduate programs because there was, and still is, a need to assist students in pursuing diverse areas of study -- both in the sciences and in the humanities.

The Administration is proposing to consolidate six graduate assistance programs into one program, call it National Graduate Fellowships, and give the Secretary of Education the authority to set fellowship funding limits for the different subject areas based on his determination of national need.

I agree that we need more scientists, engineers, and mathematicians, but, I do not agree that providing assistance for these studies should come at the expense of studies dealing with the humanities and social sciences.

Progress in both the sciences and humanities is essential to the well-being and furtherance of this nation. Technology by itself means nothing. We must understand what we mean to accomplish in human terms by our scientific endeavors. If we don't, we will never know how effective are scientific advances are.

Thomas Jefferson once said, "I look to the diffusion of ... education as the resource most relied upon for ameliorating the condition, promoting the virtue, and advancing the happiness of man."

I'm concerned that the Administration's proposal to consolidate six graduate assistance programs is nothing more than an attempt to eliminate four of the programs because they do not provide assistance in the sciences or mathematics. But, before I tell you which four programs I'm talking about, let me tell you about the two programs that are probably safe -- the Patricia Roberts Harris Graduate Fellowships and the Graduate Assistance in Areas of National Need program.

In his Fiscal Year 1991 budget, the President requested $1.8 million more than the 1990 appropriation for the Harris Graduate Fellowships which are awarded to students who are under-represented in graduate education. His explanation for the increase was to improve educational achievement for under-represented groups in areas of national need.

The Graduate Assistance in Areas of National Need program, which provides for fellowships through institutional grants to enhance the teaching and research capacity in selected subject areas, is safe because the Secretary of Education already decides which subject areas are needed and which are not.

In Fiscal Year 1988, the Department of Education made 42 institutional awards under the National Need program -- of these 42 awards, 11 were in Chemistry, 10 were in Engineering, 11 were in Mathematics, and 10 were in Physics. The following fiscal year, 32 new awards were made -- eight each in Chemistry, Engineering, Mathematics, and Physics.

Now let me tell you about the four existing programs I am concerned may be completely eliminated because they do not provide assistance in areas of national need as determined by the Department of Education. They are the Patricia Roberts Harris Public Service Fellowships, the Jacob K. Javits Fellowships, Foreign Language and Area Studies Fellowships, and Library Career Training.

In his Fiscal Year 1991 budget, the President requested that only continuation awards be provided for the Patricia Roberts Harris Public Service Fellowships and the Jacob K. Javits Fellowships. These programs provide assistance for study in public service, the arts, humanities, and social sciences. The Administration said these programs should be terminated because they did not address areas of national need.

While the President did not specifically target Language Studies or Library Training for elimination in his 1991 request, funding for fellowship activities under these two programs may also be in jeopardy.

Currently, both of these programs are not legislatively limited to assisting only graduate students. The Administration has pulled these programs from titles two and six of the Higher Education Act of 1965 and lumped them together with the graduate programs found in title nine of the Act.

Because the administration is already seeking to eliminate undergraduate access to these programs and because they do not address subject areas of national need, as previously determined by the Department of Education, I don't see any reason to believe that Language Studies or Library Training will receive funding.

I'm not sure Congress wants to establish the policy of providing graduate assistance only to students studying math and science. But, I'm fairly certain that Congress would not like to abdicate its authority and let the Administration decide the educational priorities of this nation based on which subject areas it ultimately believes are important and which are not.

Tom Sawyer

OPENING STATEMENT

for

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

June 13, 1991

Thank you, Mr. Chairman, for convening this hearing on Title 9, Graduate Education.

As the polymar science center of the world, schools and businesses in my district of Akron, Ohio are keenly aware of the need to support graduate education.

The disciplines currently served through the Graduate Assistance Program for Areas of National Need - mathematics, chemistry, physics, engineering and foreign language - provide graduate degrees that are in strong demand in Akron.

In addition, The University of Akron has received funds under the Patricia Roberts Harris Fellowships for the past few years.

I understand that we will be hearing suggestions today to make some significant changes to Title 9 -

changes that would

- consolidate these programs with other titles
- change the eligibility requirements
- add a new program

While I have some concerns about one of these proposed changes, I think that the Chairman is right on target in his goal to carefully examine all of the Higher Education Act and I look forward to hearing the ideas that all of our witnesses will present.

Mr. ROEMER. I would just like to make one last comment before welcoming the distinguished panel to this morning's hearing.

I would like to welcome Coach Richard Digger Phelps to this morning's hearing. Unfortunately, he's just left the room. Although he doesn't deal directly with Title IX funding, he has contributed in a very, very direct and intimate way to education in this country, having graduated every single one of the four-year athletes that went through his basketball program in 20 years at the University of Notre Dame. That is a record that I think we can all look at with a great deal of pride and envy.

We need to make sure that kind of teaching takes place at our institutions of higher education. We see the graduation rate at many of our colleges for athletes far below 50 percent.

I just like to take this opportunity to personally commend him for all that he has done, including, Mr. Hayes, John Paxton who played on that Chicago Bulls team who is a graduate of the University of Notre Dame. He sure did all right last night.

With that, I would like to welcome this morning's panel, and ask them to address many of the articulate and cogent points that this Committee has asked for this morning.

I would like to welcome Mr. John Childers. I would also like to welcome Dr. John D'Arms. Sitting in for Chairman Ford, I would be remiss if I didn't give you a special welcome from the University of Michigan. I would like to welcome Dr. Jerome Pollitt, Dr. Frank L. Morris, Sr., Dr. Peter May, and Ms. Laura Shanner.

Mr. John Childers will begin the presentation this morning.

STATEMENT OF HONORABLE JOHN CHILDERS, DEPUTY ASSISTANT SECRETARY FOR HIGHER EDUCATION PROGRAMS, U.S. DEPARTMENT OF EDUCATION, WASHINGTON, DC

Mr. CHILDERS. Mr. Chairman, Congressman Coleman, Congressman Hayes, Congressman Reed, it is a pleasure to be here this morning to present the administration's recommendations for reauthorizing the graduate fellowship programs of the Higher Education Act of 1965.

These important programs in the Office of Higher Education Programs serve a vital national purpose. Federal support for graduate education is important in meeting the needs for scholars and researchers in the humanities and in the sciences and engineering fields. We need highly trained individuals to replenish the faculties of our colleges and universities. We also need trained researchers in academia, business and industry, and the public sector.

As Congressman Coleman has already pointed out this morning, we have several areas of great concern. For example, U.S. citizens receive less than half the number of all the doctorates in math and engineering in the U.S. graduate schools. The Department of Education programs are attempting to help correct this problem.

This year, for example, we are supporting 426 American citizens studying for advanced degrees in mathematics. That is more than the total number of doctorates awarded to U.S. citizens in this field in any year from 1985 through 1990. This fall alone, we will be starting 205 new Ph.D. candidates in mathematics at American universities.

Federal support for these fields is vital if we are to produce the new generation of faculty and leaders to help the United States keep its competitive edge internationally.

Just very briefly, on the major fields and programs we currently have through the graduate assistance and areas of national needs, we are currently supporting 1,690 students at 78 graduate schools the Javits fellowship program is supporting 531 fellows in arts, humanities and the social sciences.

The Patricia Roberts Harris programs are supporting over 1,100 graduate students from groups traditionally under-represented in graduate education, including minorities and women. The Title IV foreign language and area studies program currently supports 610 academic fellows studying more than 75 languages.

Let me now, if I may, turn to the administration's proposals to consolidate six current graduate fellowship programs into one national graduate fellowships program. The department proposes to consolidate, streamline and simplify our current programs into this one program. We believe that the current programs have served the Nation well, but believe that their divided nature has created some confusion and has placed a heavy administrative burden on institutions.

The first part of the proposal would be to simplify administration of the program and provide more flexibility in these programs. Currently, for each grant, an institution of higher education must abide by specific program regulations for each program. Each program has different levels of stipend support calculated under differing methodologies. The program supported in the Office of Higher Education programs right now are subject to six different program regulations.

Institutions have to deal with six different financial reports and six separate performance reports, submit different certifications of student need for the six programs calculated under six different program methodologies, and determine tuition and fee payments under six different sets of rules and establish six accounting systems to insure audit reliability.

Additionally, each of these fellowship programs has a separate grant period and fellowship term requiring the institution to track students under the six programs for differing periods of time. Compounding the institutions' administrative burden are different requirements for carry-over of funds, re-obligation of fellowships, the supplant-supplement provision of funds and student-leave approval policies.

We feel the administration's proposal would eliminate this administrative maze. An institution of higher education would apply under one program, prepare one financial report, one performance report, calculate student need under one methodology and abide by one program's regulations. Each student would receive the same stipend and the institution would receive the same amount of institution support for a fellow in any of the programs.

Specifically, the administration's proposal would allow the Secretary to designate—and this gets to the area of flexibility and meeting national needs—the Secretary could designate on a periodic basis the fields of study for which applications would be solicited. These fields could include any fields where need was ascertained in higher education. The proposal would have provisions that would ensure that institutions seeking and receiving awards would recruit students from groups traditionally under-represented in the field of graduate study.

The program would be institution-based, as most of our programs now are, except for the Javits program. It would establish the same stipend level, $10,000, for all graduate fellows. Currently, they range in the department from $7,000 to $10,000. It would provide the same tuition and fee payment, $6,000 per fellow to each institution. These payments currently range from $6,000 to full tuition and fees. It would provide support to a graduate student for a maximum of 5 years.

We feel that this proposal retains the flexibility and ability to focus national resources on fields of vital importance; however, they will simplify the process of applying for and receiving a fellowship for everyone. The simplification would also help the department itself administer the graduate level of funds with our limited staff to support these important programs.

One other quick point, if I might, Mr. Chairman. We also propose to combine two other programs, the minority participation and graduate education program, to combine that with the Ronald E. McNair post-baccalaureate achievement program, and to create a new Ronald E. McNair graduate outreach program. This new program would provide support to disadvantaged students from economically and culturally disadvantaged backgrounds by way of summer institutes and other effective methods to prepare them for graduate school.

By consolidating these two programs with similar goals, we would avoid the duplication of services that currently exists between the programs and better assist disadvantaged students with effective preparation for graduate study. Two other areas affect graduate education. The department proposes to eliminate the assistance for training in the legal profession program and the law school clinical experience program.

As important as these programs are, we feel that the training of highly qualified students in fields of study critical to the National well-being should have priority over programs addressing only one professional field of study.

Finally, we would repeal Title II of the current Act, which provides assistance for library—academic library and information technology, but would fold the fellowships under that Title into the consolidated graduate fellowships program, so that fellowship portion would be retained.

We believe that the administration's proposals to consolidate, simplify, streamline and improve the graduate programs will make the programs more efficient and effective and would benefit both institutions and students. We feel that these proposals retain the best features of the current programs, while allowing for greater administrative flexibility and unified program operation.

I appreciate your courtesy in listening to these proposals this morning. Of course, after the other panelists testify, I would be happy to respond to any questions you might have.

[The prepared statement of John B. Childers follows:]

Department of Education

Statement by

John B. Childers
Deputy Assistant Secretary
for
Higher Education Programs

before the

House Subcommittee on Postsecondary Education

on

Reauthorization of the Graduate Fellowship Program

June 13, 1991

Mr. Chairman and Members of the Committee:

I am pleased to appear before this Committee today to discuss the Administration's recommendations for reauthorizing the graduate fellowship programs of the Higher Education Act of 1965. Our higher education reauthorization proposal, the "Higher Education Act Amendments of 1991," was introduced yesterday. These important programs in the Office of Higher Education Programs serve a vital national purpose.

Federal support for graduate education is important in meeting the need for scholars and researchers in the humanities and in the sciences and engineering. We need highly trained individuals to replenish the faculties of our colleges and universities as senior professors retire; we also need trained researchers in academia, business and industry, and the public sector. For example, in 1990

U.S. citizens received fewer than half of all the doctorates in mathematics and engineering conferred by U.S. graduate schools. Notably, we currently support through the Department's fellowship programs 426 U.S. students studying for advanced degrees in mathematics; this is more than the total doctorates awarded to U.S. citizens in the field of mathematics in any year from 1985 through 1990. The support we provide, in conjunction with additional support from the National Science Foundation and other agencies, is essential if we are to substantially increase the number of U.S. citizens receiving advanced degrees in these fields. While the number of U.S. citizens receiving doctorates in science and engineering increased during the decade from 1980 to 1990, the net increase was only 208--from 13,410 in 1980 to 13,618 in 1990.

Additionally, recent projections by Bowen and Sosa note that between 1997 and 2002 there will be only eight candidates for every ten faculty in all areas of arts and sciences, and only seven candidates for every ten vacancies in humanities and social sciences. Federal support and more efficient use of each dollar available for support of graduate study are essential if we are to produce the new generation of faculty and leaders that are necessary for the United States to maintain a competitive edge internationally in vital fields of inquiry. The support will also enhance our ability to increase the number of advanced degree recipients in fields of study identified as critical to the national need, and to increase the number of advanced degree recipients from underrepresented groups.

The contribution to graduate education made by the current programs has been important. Through the Graduate Assistance in Areas of National Need (GAANN) fellowship program, we are now supporting advanced study by 1690 students at 78 graduate schools in 35 states. The fields of study for which awards have been made include chemistry, engineering, foreign languages, mathematics, and physics. The Jacob K. Javits Fellowship Program currently supports 531 fellows at 71 institutions of higher education in 22 states and the District of Columbia, pursuing degrees in the arts, humanities, and social sciences. The Patricia Roberts Harris Graduate and Professional Studies Fellowships Program now supports 1,119 graduate students, from groups traditionally underrepresented in graduate education, including minorities and women. The Title VI Foreign Language and Area Studies program currently supports 610 academic year fellows pursuing advanced study in more than 75 languages.

Now let me turn to our specific proposal to consolidate the six current graduate fellowship programs into one National Graduate Fellowships Program. The Department proposes to consolidate, streamline, and simplify the current graduate fellowship programs into one National Graduate Fellowships Program. The fellowship programs we would consolidate are the Graduate Assistance in Areas of National Need, Patricia Roberts Harris Graduate and Professional Study, Patricia Roberts Harris Public Service, and Jacob K. Javits Fellowship programs from Title IX; the Foreign Language and Area Studies (FLAS) program from Title VI; and the Library Career Training Fellowship program authorized under Part B of Title II.

The Department has supported these programs and believes that the programs have served the nation well. However, the Department believes the fractionated nature of these fellowships programs has created some confusion and placed a heavy administrative burden on institutions receiving fellowship grant awards.

The National Graduate Fellowships proposal would simplify administration and would provide more flexibility in targeting funds. Under some of the current fellowship programs, the individual student is the legal applicant; for other programs the institution of higher education or its component graduate schools is the applicant. For each program grant, the institution must abide by specific program regulations and must submit separate financial and performance reports. The fellowship programs provide different levels of student stipend support, calculated under differing methodologies. Institutional support also differs under the programs - some programs require institutional matching support, some allow the institution to charge the fellow the difference between the Department's support and the actual tuition and fees cost, while other programs do not allow the institution to charge the fellow costs not met by the Department's institutional support payment.

Thus, at any given time an institution of higher education may administer six different fellowship programs subject to six different program regulations; be required to submit six separate financial reports and six separate performance reports; submit certifications of student need for the six different programs -- calculated under six different program methodologies; determine tuition and fees payments required of fellows or allowed under the six different programs; and establish six different accounting systems to ensure audit-reliability -- all this after having applied for the programs under separate applications.

Additionally, each fellowship program has a separate grant period and fellowship term, requiring the institution to track students, under the six programs, for differing periods of time. Compounding the institution's administrative burden are the different requirements for carry-over of funds, re-obligation of fellowships, supplant-supplement of funds, and student-leave approval.

The confusion created by six different and distinct fellowships programs also affects the individual students. Many students are unaware of the available fellowships. Other students do not understand the application procedures - to whom and how to apply for fellowship assistance. And because of the programs' separate provisions for institutional payments, students are unsure as to their responsibility for tuition and fees payments.

The National Graduate Fellowships Program would eliminate this administrative maze. An institution of higher education would apply under one program; prepare one financial report and one performance report; prepare one certification of student need calculated under one methodology; and abide by one program's regulations. Also, the institution would receive the same institutional allowance for each Fellow.

The National Graduate Fellowships Program would have the following specific characteristics:

- It would allow the Secretary to designate, on a periodic basis, the fields of study for which applications would be solicited; these fields could include any fields supported by the Department's current fellowship programs.
- It would ensure that institutions receiving an award will recruit students from groups traditionally underrepresented in the particular area of graduate study.
- It would be institution-based, assigning applicants the responsibility of selecting the individual fellowship stipend recipients.
- It would establish the same stipend level, $10,000 for all National Graduate Fellows. Current stipend levels differ by program and range from $7,000 to $10,000.
- It would provide the same tuition and fee payment, up to $6,000 per Fellow, to each institution receiving fellowship support. These payments currently range from $6,000 to full tuition and fees.

- It would provide support to a graduate student for a maximum of five years, including a year for the completion of the dissertation. The length of support currently ranges from three to five years.

These features of the consolidated National Graduate Fellowships Program retain the flexibility and cogent characteristics of the current fellowship programs. However, they also simplify the process of applying for and receiving a fellowship for everyone. Graduate schools will no longer need to maintain or complete multiple applications for these programs. Our proposal is based on our belief that Federal funding is a vital resource for America's graduate institutions and for the student pursuing advanced degrees in fields critical to the well-being of the United States. This simplification would also help the Department administer its graduate-level funds, with its limited staff and with total appropriations of approximately $65 million, more efficiently and effectively. Current program fellows would receive continuation awards, based on current Fellowship provisions, and would receive priority for support.

We also propose to combine the Minority Participation in Graduate Education Program with the Ronald E. McNair Post-baccalaureate Achievement Program under a new Ronald E. McNair Graduate Outreach Program. This new program will provide support to disadvantaged students from economically and culturally disadvantaged backgrounds with effective preparation for graduate and doctoral study by means of summer internships, seminars and other activities. By consolidating the two current programs, we would avoid the duplication of services that currently exists between the programs and improve our ability to provide disadvantaged students with effective preparation for graduate study. This proposal is in line with our general objective of simplifying delivery of services and reducing the administrative burden for participating institutions of higher education.

Our reauthorization proposals for the Higher Education Act also would also increase resources available to graduate students through the Supplemental Loans to Students (SLS) Program. Our proposal would increase the SLS current annual loan limit of $4,000 for graduate students to $10,000. The limits for graduate students would remain the same under the Stafford Loan program.

I would now like to discuss other reauthorization proposals that affect graduate education. The Department proposes to eliminate the Assistance for Training in the Legal Profession Program and the Law School Clinical Experience Program. We believe that the training of highly qualified students in fields of study critical to the nation's well-being should have priority over programs addressing need only in a single professional field of study. Finally, we would repeal Title II of the current Act, which provides assistance for academic library and information technology enhancement. However, as mentioned above, the Library Career Training Program authorized under section 222 of the current law would be consolidated into the National Graduate Fellowships Program.

We believe that our proposal to consolidate and thus simplify, streamline, and improve the effectiveness and efficiency of the Department of Education's graduate fellowship and graduate outreach programs would benefit both institutions and students. The McNair Graduate Outreach Program would help disadvantaged students prepare for graduate studies and ensure their success in pursuing graduate degrees. Our National Graduate Fellowships Program would intensively concentrate our resources and more precisely target our efforts to meet the nation's most critical needs for highly trained individuals. These proposals retain the best features of the current programs while allowing for greater administrative flexibility and unified program operation.

I would be glad to discuss our proposals in more detail or to answer any of your questions.

Mr. **Roemer**. Thank you very much.

Before I introduce Dr. D'Arms, I would just like to say that all of your statements will be entered into the record in their entirety. If you would like to highlight or specifically focus upon different aspects of your testimony or address some of the preliminary remarks made by the committee, you are welcome to do so.

Also, I would just like to say, Coach Phelps, welcome this morning. You missed my remarks about you. You'll have to read the record to catch them. Again, we salute your accomplishments in both athletics and academia. Keep up the good work.

Dr. D'Arms.

STATEMENT OF JOHN H. D'ARMS, VICE PROVOST FOR ACADEMIC AFFAIRS AND DEAN OF THE GRADUATE HORACE H. RACKHAM SCHOOL OF GRADUATE STUDIES, UNIVERSITY OF MICHIGAN

Mr. **D'Arms**. Mr. Chairman, members of the subcommittee, I want to thank you for the privilege of testifying this morning. My name is John D'Arms. For the past 6 years, I have been dean of the Rackham School of Graduate Studies at the University of Michigan.

Chairman Ford came actually to our Rackham building just a few years ago, and addressed members of the university community. We acknowledged then, and I am happy to do it again now, the division and the commitment and the leadership which he is Chairman along with you, his colleagues, are providing for higher education on behalf of our nation.

I am pleased to have this opportunity to testify on the Department of Education programs, which support graduate education. I want to emphasize at the outset that I speak first as the university administrator who is partially responsible for developing and implementing the University of Michigan's policies governing graduate education.

But I speak also as a professor of classics and history with an interest in archaeology, one who has had the satisfaction of actually teaching more than one Javits fellow; and, indeed, the satisfaction of coming to know personally as well as professionally many of the Michigan students who have benefitted from all four of the major programs included under Title IX.

It is fitting, I think, that graduate students are at the forefront of consideration this morning, because these talented and dedicated young people are too often of marginal status, even in university discussions of educational policy. They are sort of left-over undergraduates and not yet faculty members. The graduate student, therefore, is too easily left to one side. They deserve strong national advocacy for they are among our nation's most precious human resources.

Some of today's capable and highly-motivated graduate students, like Laura Shanner, who will be speaking for herself a little later this morning will be the faculty members of tomorrow. They will be generating the new ideas that have always fostered growth within our society. Outside the academic sector, as well as within it, strong graduate training is powerfully connected to the quality of the Nation's research effort in every field.

For these reasons, many of us have a stake in securing a strong future for graduate education and of acting together in partnership. The partners include very conspicuously universities and the Federal Government.

Now, if my focus this morning is on the role of the Federal Government and of the Department of Education in particular, I do not thereby mean to imply that the Federal Government is expected to be the senior partner in this national enterprise, or that universities have any less of an obligation to contribute and to collaborate.

Collaboration can mean rather different things to different people, as I was reminded when I saw a recent advertisement in the London Times, which read: "Man with own knife and fork would like to meet man with own steak with view to mutual collaboration."

Some may think that there are academicians these days who appear to conceive of themselves as the holders of the knife and fork, with the Federal Government as providing the steak. That is not, I think, the prevailing attitude in the universities. We are strongly committed within our institutions both to the increased financial difficulties of our graduate students and to reevaluating and improving our academic practices as they affect graduate students.

This, you will be hearing about later from Dean Pollitt of Yale, who is a fellow member of a task force of the Association of Graduate Schools, which issued last year a major statement on institutional policies to improved doctoral education, a copy of which I presented to Congressman Coleman this morning.

So it is in the spirit of genuine collaboration that we in universities seek the help and support of the Federal Government in sustaining and improving the quality of graduate education. Though in many respects, our graduate programs in the United States were regarded as the envy of the rest of the world, we all need to worry about these three disturbing trends. The percentage of U.S. citizens earning Ph.D.'s has steadily declined over the past 20 years.

Second, women in minorities, women in some fields, minorities in virtually all fields are seriously under-represented in master's and doctoral education. Absolute numbers of black students has actually declined during the past 10 years. This occurs at precisely the same time as national demographic trends are proving that our overall work force is coming to be peopled increasingly by members of these groups.

Third, recent analyses of academic labor markets project that current trends in Ph.D. supply and demand will result in serious shortages of Ph.D.'s by the end of the 1990s. But meanwhile, our strongest international competitors are expanding their investment in science, technology, and research. I ask: Can we as a nation afford to reduce our investments in human capital, our graduate students, while our competitors are increasing theirs? So we seek the support of the government to help us meet these challenges.

The Federal role in graduate education is two-fold. First, to increase market incentives to assure the development of the human resources, the talent pool, which is sufficient to meet the Nation's needs. Second, to pick targets carefully to provide special incentives to students who are not participating in or are under-represented in graduate education and, who, therefore, will—without those incentives—inevitably remain under-represented in the careers to which this education provides access.

The Department of Education can compliment the graduate programs of the other Federal agencies, principally through the programs included under Title IX. My colleagues this morning will speak to these in specific detail, and I don't intend to elaborate here. But I would like to reemphasize the principles upon which our recommendations are based, fundamentally.

First, the department needs to provide expanded access to graduate education for the most talented in all fields. The Javits and the National need programs provide effective incentives to potentially achieve this. The department also needs to target the populations currently under-represented. The minority undergraduate internships and Harris graduate fellowship can help to achieve this.

But second, as the programs in Title IX go forward—and this principle, too, is critical—they can and should go forward in a manner that will enlist the cooperation of the universities themselves in the improvement of their own programs. The Department of Education and the universities, graduate schools, in other words, need to work together in that spirit of genuine collaboration, each sensitive to each other's objectives and needs. Such genuine collaboration is, I firmly believe, attainable. And its beneficiaries are going to be the talented young adults who have the capacity to contribute so much to our nation's future.

Thank you very much for the opportunity to testify.

I am sorry, Mr. Ford, that you missed my nice remarks about you at the beginning.

[The prepared statement of John H. D'Arms follows:]

TESTIMONY
TO THE
POSTSECONDARY EDUCATION COMMITTEE
OF THE COMMITTEE ON EDUCATION AND LABOR
OF THE UNITED STATES HOUSE OF REPRESENTATIVES

On behalf of:

Association of American Universities
Council of Graduate Schools
National Association of State Universities and Land–Grant Colleges

John H. D'Arms
Vice Provost for Academic Affairs and
Dean of the Graduate Horace H. Rackham School of Graduate Studies
University of Michigan

13 June 1991

REAUTHORIZATION OF THE HIGHER EDUCATION ACT:

RECOMMENDATIONS FOR GRADUATE EDUCATION

Mr. Chairman and Members of the Postsecondary Education Subcommittee, I am John D'Arms, Vice Provost for Academic Affairs and Dean, Horace H. Rackham School of Graduate Studies, University of Michigan. I am pleased to have this opportunity to testify on Department of Education programs supporting graduate education as you consider the reauthorization of the Higher Education Act. Let me state at the outset that I strongly endorse the recommendations for the Title IX graduate education programs submitted on behalf of 12 higher education associations by the American Council on Education; I request that the attached paper discussing those recommendations be placed in the record along with my written statement. The attached paper presents recommendations for both grant and loan programs supporting postbaccalaureate study. In my remarks, I will discuss the Title IX graduate grant programs from the point of view of a university administrator centrally involved in the development and execution of university policy governing graduate education and research.

The discovery, dissemination, and application of knowledge are critical components of our capacity as a nation to maintain a competitive edge in the international marketplace and in our national defense. They are equally important for our internal capacity to advance ourselves as a society by fostering economic well-being at home, by developing effective solutions to the nation's physical and social ills, by enriching our culture, and by expanding access to the best that our nation has to offer--in health, in economic and social opportunity, and in our values as a people. Graduate education develops the human resources upon which all of these activities depend.

Although the graduate education carried out in this country is widely regarded as the best in the world, there are several trends that should concern us deeply: (1) the percentage of U.S. citizens earning Ph.D.s has steadily declined for the last two decades, (2) the underrepresentation of minorities and women in postbaccalaureate programs persists as a serious problem with increasing costs as the dependence of the workforce on these groups increases, and (3) there is strong evidence indicating that under these current trends, demand for Ph.D.s will outstrip supply by the turn of the century as the large number of faculty and industrial and government scientists and engineers hired during the enormous post-Sputnik growth spurt leave the workforce. At the same time that our skilled workforce diminishes, our strongest economic competitors rapidly expand their science and technology investments. We are already losing ground in the international marketplace; can we afford to shrink our investments in human resources while our competitors are increasing theirs?

The reauthorization of the Higher Education Act provides an opportunity for the Administration and Congress to adjust the Department's legislative mandate for graduate education so that it can meet national needs more effectively. The Department of Education can strengthen its graduate education programs by focusing on two principal postbaccalaureate objectives: (1) enhancing the quality and diversity of college and university faculty through fellowship and traineeship programs leading to the Ph.D. and academic careers, and (2) expanding individual opportunity through support provided to students from groups underrepresented in careers requiring master's and professional degrees.

QUALITY AND DIVERSITY OF FACULTY

The Department's current Title IX programs provide a matrix of support that has the potential to enhance the quality and diversity of college and university faculty: the Javits and National Need programs provide effective incentives for some of the nation's most talented college graduates to pursue doctoral education in all disciplines, and the minority undergraduate internships and Harris graduate fellowships support students from groups underrepresented in graduate education. Among the recommendations we have made for strengthening the capacity of these programs to support the education of future faculty are the following:

- expanding the minority undergraduate internship program (Title IX, Part A) to include women in fields such as science and engineering, in which they remain severely underrepresented,
- reorganizing the two Harris fellowship programs (Title IX, Part B) into two equally funded programs, one supporting postbaccalaureate study in Ph.D. programs, the other in master's and professional programs; the Harris Ph.D. program would provide two years of initial support, followed by a third year of support at the dissertation stage contingent upon satisfactory progress to the degree,
- adding a requirement that academic departments receiving grant funds through the Harris Ph.D. program or the National Need traineeship program (Title IX, Part D) commit to providing at least one year of supervised teaching for students supported on these grants.

As my colleague, Jerry Pollitt of Yale, will discuss in more detail, our recommendations for supervised teaching as a condition of grant acceptance and for the provision of dissertation support provide mechanisms by which federal policy can mesh with policies already underway on university campuses to improve doctoral programs.

EXPANDING INDIVIDUAL OPPORTUNITY

To complement Department support of doctoral study leading to faculty careers, the Department should expand individual opportunity in two ways: (1) through modification of the Harris fellowship program to provide grant support for students from groups underrepresented in careers requiring master's and professional degrees (see previous page), and (2) through the provision of adequate loan capital for all postbaccalaureate study.

I would like to stress two points with respect to the proposed Harris master's/professional grant program. First, it should be funded at a level equal to that of the Harris Ph.D. program. Although the shorter duration of master's and professional programs relative to doctoral programs and the generally stronger labor market for their graduates may lessen the need for grant support for many of these students, minorities and women remain underrepresented in careers requiring master's and professional degrees. Grant support targeted on these students is fully justified to expand their career opportunities. Moreover, this program can increase access to doctoral programs for many minority students who may be reluctant to commit to the daunting prospect of doctoral study directly after undergraduate education, but who gain the interest and confidence for further study after completing a master's program.

Second, the principal criterion for allocating grant awards in the master's/professional programs should be the success of competing academic programs in enrolling underrepresented students in and graduating them from master's and professional programs, and placing them in subsequent professional careers. Many historically black colleges and universities and predominantly master's institutions would compete effectively under such criteria, and the program would reach a broad range of institutions and students.

Loans

Virtually all master's and professional students are heavily dependent on loans. As is well known, loan indebtedness is a growing problem at the undergraduate level; postbaccalaureate borrowing only increases that indebtedness. Nonetheless, graduate and professional students must have access to loan capital in order to finance their education. The higher education community has made a number of recommendations for increased loan limits coupled with flexible repayment options which would provide great benefit to graduate and professional students.

I wish to call your attention particularly to the higher education community's recommendation for a direct loan program. I believe that a direct loan program holds great promise for providing improved and simplified loan assistance and substantially reduced cost. I hope that your committee will give careful consideration to its merits.

GENERAL ADMINISTRATIVE PROVISIONS

Program Administration

Virtually all of the Department's graduate programs have been afflicted with serious administrative problems. Confusing and poorly communicated changes in regulatory procedures have caused considerable difficulty for campus administrators trying to understand and adhere to compliance requirements. Vaguely defined eligibility requirements have unintentionally discouraged eligible students and academic departments from applying for grants.

One of the most serious problems has been the Department's chronic inability to conduct competitions and announce awards in a timely manner. The Department's graduate programs *must* adhere to schedules that fit academic practices. This is not an indulgent request from the ivory tower but a simple recognition of reality:

- since graduate programs recruit students for the following year in the fall and early winter of the previous year, there is simply no way that a $150,000 traineeship grant awarded to an academic department in April can accomplish its intended purpose of allowing that department to enroll a larger number of top students into its program;

- if students must commit to a graduate program by April 15 for a program they will begin in the fall, there is no way that a portable fellowship announced after that date can benefit that student's decisionmaking about what program to enroll in.

Because of poor administration of the Department's graduate programs, exacerbated by a lack of effective communication with university graduate departments, the Department has undermined the potential effectiveness of these programs. The fault for this problem does not lie primarily with the Departmental personnel who administer these programs. By any reasonable standards, the Title IX programs are severely understaffed. Three actions could dramatically improve the quality of program administration: (1) increase the number of professional and especially support staff assigned to administer the programs, (2) consolidate the administration of the programs into a single, integrated unit, and (3) provide an "excepted hire" authority that would allow the Department to bring in campus administrators experienced in administering graduate fellowship and traineeship programs.

Financial Support

Department of Education graduate stipends are currently capped at $10,000. That level is too low for the programs to accomplish their objectives, particularly since authorizing levels extend over a five- or six-year period following reauthorization. Congress should make the necessary legislative changes to permit stipends to be set at levels necessary to accomplish the goals of attracting highly talented students into doctoral programs and making it possible for them to complete those programs. The talented college graduates who enroll in doctoral programs must forego income and incur additional expenses for extended years of advanced education leading to the Ph.D. If the disparity between what those students can earn as college graduates and what it will cost them to earn a Ph.D. is too great, we will lose the very students these programs are designed to attract into graduate education.

The question of financial need analysis is a vexing one. Virtually everyone is in agreement that, at the undergraduate level, the federal government should focus on expanding access and choice by the reduction of financial barriers and that this is best accomplished by allocating financial assistance based on financial need. At the graduate level, there is a compelling national interest in attracting some of our most talented college graduates into graduate programs; I am concerned that need-based aid can reduce the effectiveness of federal assistance to accomplish that objective. The current Title IX graduate programs allocate awards competitively based on judgments of the academic merit of students and graduate departments. However, in each of these programs, the amount of support allocated to individual students is determined by financial need analysis. There is good reason to question the effectiveness of this use of need analysis at the graduate level. Virtually all graduate students are financially needy, and most students qualify for the maximum stipend. The principal result of the use of need analysis, therefore, is not an effective apportionment of federal resources but an administrative burden on students, institutions, and the Department that delays the allocation of awards, adds uncertainty about the level of support students can expect, and in some cases places unintended hardship on students.

There may be strong arguments for preserving some form of need analysis at the graduate level. But I ask you to examine the current process carefully to see if there isn't some way at least to modify the process, if not to abandon it, to better fit the different circumstances of graduate students and to reduce the delays and complications that need analysis imposes on program administration.

Administration's Proposal for Program Consolidation

The Administration has proposed to consolidate all of the Department's graduate fellowship and traineeship programs into a single, competitively funded traineeship program. It is my understanding that part of the motivation for this proposal is to address the administrative problems discussed above through the simplification that would result from combining these programs. To this extent, the Administration's proposal is certainly well intentioned. But far too much is lost in the simplification. A single program cannot provide what the current programs with our proposed modifications would provide:

- portable fellowship support in the arts, humanities, and social sciences--now the only national program of this kind in existence;
- support for expanded graduate education by the nation's strongest graduate departments in areas of critical national need;
- the encouragement of teaching, the provision of dissertation support, tailored to specific graduate programs;
- a vertically integrated set of programs expanding the pool of undergraduate students from groups underrepresented in postbaccalaureate programs who are prepared for and interested in graduate study, and providing fellowship support for some of the best of the students in that pool who enroll in doctoral programs;
- expanded individual opportunity for students underrepresented in careers requiring master's and professional degrees.

The answer, of course, is that a single program cannot do all these things. As we have suggested, there are ways to strengthen the impact of these programs and improve their administration without sacrificing the range of needs in graduate education that the current programs serve.

The recommendations for reauthorization of the Department's graduate programs are the result of long discussions by campus administrators familiar with graduate education. The community position reflects extensive consultation among individuals and organizations representing institutions ranging from research universities to historically black colleges and universities and master's only institutions. We believe that these recommendations will provide the Department of Education with the tools necessary to enhance the quality and diversity of college and university faculty and to expand the individual opportunity of students pursuing the full range of careers opened up by postbaccalaureate education.

Thank you for this opportunity to testify and for your consideration of our views.

Mr. FORD. [presiding] Mr. Pollitt.

STATEMENT OF JEROME J. POLLITT, DEAN OF THE GRADUATE SCHOOL OF YALE UNIVERSITY

Mr. POLLITT. Mr. Chairman, I am Jerome J. Pollitt, Dean of the Graduate School of Yale University. I am grateful to have this opportunity to testify on the Reauthorization of the Higher Education Act. I would also like to express my thanks to Congressman Coleman for the generous advice that he has given to my institution and to me and my colleagues over the past several years.

I would like to describe to you steps that have been taken by my university to remedy one of the problems that currently afflict graduate education, particularly in the humanities and social sciences, but as I do so, I would like to emphasize that the problem of which I speak is a national one and that all major research universities are facing it.

In fact, a task force of the Association of American Universities has recently prepared a document that makes proposals on how to deal with it. That is the document that Professor D'Arms gave to Mr. Coleman just a short time ago.

Mr. COLEMAN. Mr. Chairman, if I might, since it has been mentioned twice and I have looked at it before, I would like to put this in the record. It is a very, I think, worthwhile study and really lays out a lot of the issues in graduate education if that is permissible.

Chairman FORD. Would you like to put it in at the end of his testimony?

Mr. COLEMAN. I'll put it at the end of Dr. Pollitt's testimony. Thank you.

Chairman FORD. Without objection, it will be entered.

Mr. POLLITT. The problem to which I refer is the ever-increasing time it takes to get a Ph.D. Among those who graduated at Yale between 1985 and 1990, the average time that it took to earn a doctorate in humanities was 7.8 years; in the social sciences, the figure was 7.5. Although these figures may seem high, I should point out that they are somewhat below the National average, which, in the humanities, has been as high as 8.4 years.

Between 1975 and 1978, by contrast, the average time at Yale was 6.5 years in the humanities and 6 years in the social sciences. In other words, our average time to degree has increased by 20 to 25 percent in about a decade. That these are not just aberrant figures result from the distorting effect of a few unusually protracted dissertations—that is, the proverbial 25-year dissertation—it is clear form other indicators.

For example, at Yale, our official period of candidacy for the Ph.D.—that is, the maximum amount of time the student is supposed to take to earn the degree—is 6 years. There have always been people who took more time than that, but in 1970, 63 percent of the students in the humanities and 66 percent of the social sciences and 92 in the physical sciences finished their degrees in 6 years or less.

By 1989, this was true of only 17 percent of the students in the humanities and 35 percent in the social sciences. Even in the physical sciences, the figure had dropped to 65 percent.

One might ask, as some of the graduate school critics at Yale have asked: What is so bad about this? Who cares whether a Ph.D. takes 7 or 9 or 20 years, for that matter, to finish?

My response is that it is unreasonable to ask some of our brightest citizens to spend as much as a quarter of an adult working lifetime simply acquiring the credentials to practice their profession, and to expect them during this long period to live on very little money, often to accumulate large debts, and to find themselves, as adults, relegated to a largely dependent status.

Such a condition can only have the effect of discouraging many of our best young minds from going into college-level teaching and advanced research. My guess is that it must have a particularly discouraging effect on members of minority groups who are contemplating careers in higher education.

Clearly, both universities and the country as a whole would be better off if, after a reasonable period of training, graduate students got their degrees, found jobs and had an impact on society as independent professionals.

In this brief statement, I can't go into all the reasons that have led to the current inflation in time to degree. In part, it is simply a reflection of a new ethos among students and faculty that began to develop in the 1970s. But at Yale, at least, it seems to be explained to a great extent by the fact that students have been continuing to serve as teaching assistants for a much longer time than was the case prior to the 1980s, and that the time and energy which have gone into teaching have inevitably come at the expense of work on their dissertations.

Much of this additional teaching has been done by graduate students who are in their later years of study, and it has been undertaken not because the students need more training as teachers—they have already had an ample amount by that time—but simply because they need the money.

Last year, in an effort to reverse this trend, we took steps to provide increased financial aid for graduate students who are at the dissertation stage and also to tighten up and monitor more closely the progress of students toward their degrees.

The keystone to this initiative is a new program of dissertation fellowships, which make it possible for advanced students to devote all their time to finishing their dissertations. Needless to say, the students are not permitted to teach while they hold these fellowships.

In view of the very substantial cost of the new program, we naturally want our students to be able to derive the maximum benefit from these awards when they become eligible for them. We have accordingly taken steps to insure that they are making steady progress towards their degrees at all stages of study. Hence, we now require that, except in exceptional circumstances, students complete all their pre-dissertation requirements within 3 years.

We have reaffirmed our traditional expectation that the degree be completed in not more than 6 years. A student who does not complete the requirements in the allotted time, incidentally, is no longer permitted to register at the university.

As you might guess, these stricter requirements which hold both students and faculty to more demanding standards of academic achievement have not been universally popular. We have also done our best to convince the faculty that the scale of dissertation topics should be such that the student has a realistic chance of completing the work in 2 to 3 years. We feel that a doctoral dissertation should demonstrate that the student has mastered the techniques of the field, and has made an original contribution to it. But it need not be the major work of that student's entire lifetime as a scholar.

Annual dissertation progress reports, which must be completed by the faculty advisor and the director of graduate studies as well as the student are now required. These help us to determine whether a student is ready for a dissertation fellowship and also to determine if the student for one reason or another is falling by the wayside and needs more supervision.

I should also add that we have created a new officer called the Director of the Teaching Fellow program, one of whose tasks it is to see that even though our graduate students may be teaching somewhat less, they still get systematic and thorough training as teachers.

The point of my recounting what Yale has recently done is not to give my own university a parochial pat on the back, but rather to assure the subcommittee that the graduate schools of all major research universities are prepared to deal with their own problems and commit significant amounts of their own resources to solving them. This year, we spent at Yale $650,000 alone on dissertation fellowships. We expect that figure to be greater next year.

But like most of our sister institutions, our financial aid budget is now stretched to its limit and the shortfall between what it would take to help all of our graduate students meet the cost of living and what we can afford to give them is still very substantial. Hence, the Javits fellowships, the Patricia Roberts Harris fellowships and other Federal programs, both those now in existence and those that are under consideration are vital to us as we carry on our task of producing the best possible teachers and research scholars of the next generation.

I am grateful to the committee, Mr. Chairman, for the opportunity to make this statement. I would be happy to answer any questions as they come up.

[The prepared statement of Jerome J. Pollitt with attachment follows:]

Mr. Chairman and members of the Subcommittee:

I am Jerome J. Pollitt, Dean of the Graduate School of Yale University, and I am pleased to have this opportunity to testify on the reauthorization of the Higher Education Act.

I would like to describe to you steps that have recently been taken by my university to remedy one of the problems that currently afflict graduate education, particularly in the humanities and social sciences, but as I do so, I would like to emphasize that the problem of which I speak is a national one and that all major research universities are facing it. In fact, a task force of the American Association of Universities has recently prepared a document that makes proposals about how to deal with it.

The problem to which I refer is the ever-increasing time it takes to get a Ph.D. Among those who graduated between 1985 and 1990, the average time that it took to earn a doctorate at Yale in the humanities was 7.8 years; in the social sciences the figure was 7.5 years. Although these figures may seem high, I should point out that they are somewhat below the national average, which in the humanities has been as high as 8.4 years. Between 1975 and 1978, by contrast, the average time at Yale was 6.5 years in the humanities and 6 years in the social sciences. In other words, our average time to degree has increased 20% to 25% in about a decade. That these are not just aberrant figures, resulting from the distorting effect of a few unusually protracted dissertations, is clear from other indicators. For example, at Yale the official period of candidacy for a Ph.D. (that is, the maximum amount of time that a student is supposed to need to finish the degree) is six years. There have always been people who took more time than that, but in 1970 63% of the students in the humanities, 66% of students in the social sciences, and 92% of students in the physical sciences finished their degrees in six years or less. By 1989 this was true of only 17% of students in the humanities and 35% in the social sciences. And even in the physical sciences the figure had dropped to 65%.

One might ask, as some of the Graduate School's critics at Yale have, what is so bad about this? Who cares whether a Ph.D. student takes seven, or nine, or twenty years to finish? My response is that it is unreasonable to ask some of our brightest citizens to spend as much as a quarter of an adult working lifetime simply acquiring the credentials to practice their profession and to expect them during this long period to live on very little money, often to accumulate large debts, and to find themselves, as adults, relegated to a largely dependent status. Such a condition can only have the effect of discouraging many of our best young minds from going into college-level teaching and advanced research, and my guess is that it must have a particularly discouraging effect on members of minority groups who are contemplating careers in higher education. Clearly, both universities and the country as a whole would be better off if, after a reasonable period of training, graduate students got their degrees, found jobs, and had an impact on society as independent professionals.

In this brief statement I cannot go into all the reasons that have led to the current inflation in time to degree. In part it is simply a reflection of a new ethos among students and faculty that developed in the 1970s. But, at Yale at least, it seems to be explained to a great extent by the fact that students have been continuing to serve as Teaching Assistants for a much longer time than was the case prior to the early 1980s, and that the time and energy which have gone into teaching have inevitably come at the expense of work on their dissertations. Much of this additional teaching has been done by graduate students who are in their later years of study and has been undertaken not because the students need more training as teachers (they have already had ample training by that time) but simply because they need the money.

Last year, in an effort to reverse this trend, we took steps to provide increased financial aid for graduate students who are at the dissertation stage and also to tighten up and monitor more closely the progress of students toward their degrees. The keystone to this initiative is a new program of dissertation fellowships, which make it possible for advanced students to devote all their time to finishing their dissertations. Needless to say, students are not allowed to teach while they hold these fellowships.

In view of the very substantial cost of this new program, we naturally want our students to be ready to derive the maximum benefit from these awards when they become eligible for them, and we have accordingly taken steps to ensure that they are making steady progress toward their degrees at all stages of study. Hence we now require that, except in exceptional circumstances, students complete all their pre-dissertation requirements in three years, and we have reaffirmed our traditional expectation that the degree be completed in not more than six years. (A student who does not complete requirements in the allotted time is no longer permitted to register in the Graduate School.) As you might guess, these stricter requirements, which hold both students and faculty to a more demanding standard of academic achievement, have not been universally popular.

We have also done our best to convince the faculty that the scale of dissertation topics should be such that the student has a realistic chance of completing the work in two to three years. (We feel that a dissertation should demonstrate that the student has mastered the techniques of the field and has made an original contribution to it but that it need not be the major work of the student's entire lifetime as a scholar.) Annual Dissertation Progress Reports, which must be completed by the faculty advisor and Director of Graduate Studies as well as the student, are also now required. These help us both to determine whether a student is ready for a dissertation fellowship and also to determine if a student, for one reason or another, is falling by the wayside and needs more supervision. I should also add that we have created a new officer, called the Director of the Teaching Fellow Program, one of whose tasks is to see that, even though they may be teaching less, graduate students get systematic and concentrated training as teachers.

The point of my recounting what Yale has recently done is not to give my own university a parochial pat on the back but rather to assure the Subcommittee that the graduate schools of all the major research universities are prepared to deal with their own problems and to commit significant amounts of their own resources to solving them. This year we spent about $650,000 on dissertation fellowships alone, and we expect the figure to be greater next year. But like most of our sister institutions, our financial aid budget is now stretched to its limit, and the shortfall between what it would take to help all of our graduate students meet the cost of living and what we can afford to offer them is still very substantial. Hence the Javits Fellowships, the Patricia Roberts Harris Fellowships, and other federal programs, both those now in existence and those which are under consideration, are vital to us as we carry on our task of producing the best possible teachers and research scholars of the next generation.

REAUTHORIZATION OF THE HIGHER EDUCATION ACT:

RECOMMENDATIONS FOR GRADUATE AND PROFESSIONAL EDUCATION

The nation's programs of graduate and professional education produced approximately 34,000 Ph.D.s, 309,000 master's degrees, and 71,000 professional degrees in 1989. The talented students who complete these programs are a rich resource for the nation. Doctorate recipients become the scientists, teachers, and scholars responsible for the discovery and dissemination of new knowledge and the preservation and interpretation of our intellectual and cultural heritage. Master's education, one of the most rapidly evolving educational sectors, provides advanced training in a wide array of fields tailored to changing work force and public sector needs, as well as preparing students for further advanced study. Professional programs train people in medicine, dentistry, and other health professions, in law and theology, providing skills and knowledge critical for improving the health of our citizens, protecting their civil liberties, and sustaining and developing their values.

Because graduate and professional education serve important national needs, the federal government plays a significant role in their support. The Department of Education is a central component of that role. The reauthorization of the Higher Education Act provides an opportunity for the Administration and Congress to adjust the Department's legislative mandate for graduate and professional education so they can meet national needs more effectively.

The careers and career advancement which postbaccalaureate programs make possible provide substantial incentives for students to enroll in those programs. The federal role in supporting postbaccalaureate education should be first, to augment market and other incentives as necessary to assure the development of human resources sufficient to meet the nation's needs and second, to provide targeted incentives to students from groups underrepresented in postbaccalaureate education and the careers to which it provides access.

The Department of Education's postbaccalaureate programs address both the nation's human resource needs and the expansion of individual opportunity. In considering how the Department's programs might be strengthened during the reauthorization of the Higher Education Act, these programs should be assessed in the context of programs administered by other agencies and departments of the federal government and in terms of the projected national needs over the period covered by the legislation.

Because of the importance of science and technology to the nation's economic competitiveness, the health of our citizens, and the strength of our national defense, the federal government invests substantially in the production of scientists and engineers through the National Science Foundation, the National Institutes of Health, and the mission agencies which are dependent on a strong national R&D enterprise—the National Aeronautics and Space Administration and the Departments of Defense, Energy, and Agriculture. The graduate students supported by these agencies pursue careers in industrial and government laboratories as well as in the academic sector.

The Department of Education can complement the objectives of these agencies and contribute to the strength and continuity of the nation's education and research programs by by enhancing the quality and diversity of the college and university faculty that are the core of our system of higher education and research. The faculty of the nation's colleges and universities teach more than 12 million college students annually. These faculty conduct a major share of the nation's basic science research, and they are the primary source of scholarship in the arts and the humanities. They educate the succeeding generations of teachers, scientists, and scholars on whom our education and research programs depend.

One of the Department's two principal postbaccalaureate objectives should be to enhance the quality and diversity of college and university faculty through fellowship and traineeship programs leading to the Ph.D. and academic careers.[1] Quality can be enhanced by allocating funds competitively based on the merit of the students and programs supported as judged by representative panels of faculty with the knowledge and experience to make such judgments. Diversity can be enhanced by expanding incentives and support for students from groups underrepresented in the nation's faculties. Particular emphasis should be given to support for graduate study in the humanities, which receive no support through other federal agencies.

The second objective of the Department's postbaccalaureate programs should be the expansion of individual opportunity. This can be carried out in two ways. First, grant support should be provided to students from groups underrepresented in master's and professional programs, complementing the program for students underrepresented in doctoral education, described above. Among the groups underrepresented in postbaccalaureate programs are some of the fastest-growing sectors of our population. It is an urgent practical imperative as well as a social concern that their participation in postbaccalaureate programs be increased.

Second, adequate loan capital should be provided for all postbaccalaureate study on terms feasible for these students, most of whom are adults foregoing earned income to pursue advanced education, and many of whom have already accumulated substantial undergraduate indebtedness.

Programs supporting doctoral study will be especially important over the period covered by the reauthorized legislation. A number of recent studies have expressed concern about the adequacy of the supply of Ph.D.s over the next 25 years. In a thorough analysis of the academic labor market for arts and sciences disciplines, William Bowen and Julie Ann Sosa have shown that, absent intervention, current and projected trends in Ph.D. supply and demand will result in substantial shortages of Ph.D.s beginning in just a few years and extending well into the next century. According to their projections, between 1997 and 2002 there will be only eight candidates for every ten faculty vacancies across all arts and sciences disciplines; over that same period, only seven candidates will be available for every ten vacancies in the humanities and social sciences.[2] Shortages in high-demand fields such as computer science, engineering, mathematics, and business are already occurring.[3]

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[1] Fellowships are grants awarded directly to students by the granting agency. Traineeships are block grants awarded to institutions or departments; departments use the funds to support students they select. Both types of programs can allocate resources competitively based on equally rigorous judgments of quality; the difference is whether the students or departments are the unit of competition. Allocating grant support based on judgments of quality directs funds to the most promising students and most productive departments.

A Ph.D. shortage will pit colleges and universities against industry, government, and other Ph.D. markets in an intense competition for scarce human resources. Competition among sectors for talent is normally beneficial. But a severe Ph.D. shortage will place colleges and universities—with their more limited resources—at a competitive disadvantage with industry and other sectors in recruiting Ph.D.s.

The Department's existing postbaccalaureate programs contain most of the elements of an effective strategy for enhancing the quality and diversity of college and university faculty and for expanding individual opportunity for graduate and professional study. The legislative proposals described below will sharpen the focus of these programs and improve their interconnections, thereby strengthening the Department's capacity to carry out its role in meeting the national needs served by graduate and professional education.

I. ENHANCING THE QUALITY AND DIVERSITY OF COLLEGE AND UNIVERSITY FACULTY

These programs should be designed to meet two broad objectives:

1. increasing the number of talented U.S. students in all disciplines who pursue faculty careers,

2. attracting into doctoral programs larger numbers of students from groups underrepresented on college and university faculties—Blacks, Hispanics, and Native Americans in virtually all fields, and women in science and engineering.

The Department of Education can accomplish these objectives through expansion and modification of the following Title IX fellowship and traineeship programs: *Grants to Institutions to Encourage Minority Participation in Graduate Education, Patricia Roberts Harris Graduate Fellowships, Jacob K. Javits Fellows Program,* and *Graduate Assistance in Areas of National Need*.

General Provisions

There are five recommendations that apply to Title IX graduate programs collectively. Their implementation would strengthen the Department's administration of the programs and enhance the programs' capacities to attract talented students into graduate education.

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[2] Bowen, William G. and Julie Ann Sosa, *Prospects for Faculty in the Arts and Sciences* (Princeton, NJ: Princeton University Press, 1989).

[3] El-Khawas, Elaine, *Campus Trends, 1989,* American Council on Education Higher Education Panel Reports, No. 78 (July 1989).

Reorganization of Graduate Programs

The current Title IX programs are administered by different program officials under different procedures and schedules. The lack of common procedures compatible with academic practices impairs the utility of the programs. The Title IX programs share the procedure of awarding grants through competitive processes which require skillful administration and informed, objective evaluation. They should be administered as a unit by a common staff with a working knowledge of all programs, using a shared pool of faculty reviewers knowledgeable about graduate education. By separately organizing the programs within the Department similar to the organization of the Title VI International Studies programs or the Fund for the Improvement of Postsecondary Education, the Department could expand and coordinate staff support and develop common procedures compatible with academic practices.

To fully capitalize on such a reorganization, Congress should take two additional actions related to program staffing:

1. assure that the Department provides adequate staff support to administer the programs effectively, perhaps by providing explicit salaries and expenses funding through the appropriations process, and

2. provide an "excepted hire" authority similar to that provided to the Fund for the Improvement of Postsecondary Education, to enable the Department to draw experienced graduate education administrators from campuses to assist in the administration of the Department's graduate programs.

Program Schedules

The Department has had chronic difficulty in allocating awards on a schedule that permits the programs to achieve their full benefit. Some of this difficulty arises from delays in the appropriations process. Much of the difficulty is due to inadequate staffing by the Department. If the Department's programs are reorganized as suggested above and provided with adequate staffing, they should then be able to operate according to schedules compatible with academic practices.

Graduate schools begin recruiting new students almost a year before their scheduled enrollment, during the fall and winter of the prior year. Traineeship programs such as the Harris and National Need programs should therefore be announced no later than January for traineeships that will begin in the fall of that year. Announcing awards later than that date impairs departmental planning and undermines the recruitment value of the traineeships.

Fellowships should be announced no later than mid-March for support that will begin the following fall. Since fellowship awards are made directly to students, their announcement can be made later, but announcing awards later than mid-March diminishes the benefit to the student. Students must make commitments to graduate programs by April 15, and they need to know before that date if they have received a fellowship in reaching their decision of what program to attend.

Use of Financial Need Analysis in Graduate Grant Programs

Although all Title IX grants are awarded competitively, they all currently employ some form of need analysis to determine the stipend level. There is certainly some appeal to this hybrid policy of awarding grants based on merit and determining the level of support based on financial need, since its objective is to support the most promising students but not in excess of their financial need. There are both policy and practical reasons for rejecting such a procedure. The procedure may undermine the policy of providing sufficient incentives to attract into graduate education highly talented students whom the nation needs for teaching and research but who have many other career options. At a practical level, the administrative burden on campuses and on the Department to carry out the requisite need analyses results in little or no difference in the size of stipends because the financial need of graduate students generally exceeds or approximates the maximum stipend level.

It should be noted that the Department of Education is the *only* federal agency that subjects graduate stipends to a financial need analysis.

Stipend Levels

The talented college graduates the nation needs to earn Ph.D.s are adults with many options before them. Those who choose to enroll in doctoral programs must forego income and incur additional expenses for extended years of advanced education leading to the Ph.D. When the disparity between what those students can earn as college graduates and what it will cost them to earn a Ph.D. makes doctoral education an economically irrational choice, the students behave rationally. Department of Education graduate stipends are currently capped at $10,000. That level is too low for the programs to accomplish their objectives, particularly since authorizing levels extend over a five- or six-year period following reauthorization.

The Department should eliminate specific dollar ceilings on stipends and substitute legislative language directing stipends to be set at levels necessary to accomplish the goals of attracting highly talented students into doctoral programs and making it possible for them to complete those programs.

Cost-of-Education Allowances

The Harris and Javits programs provide a cost-of-education allowance to the institution of $6,000 per year per student. Actual institutional costs exceed $20,000 per student. The disparity between institutional allowances and actual costs should be reduced. For the period of reauthorization, the legislation should specify an initial institutional allowance of $10,000 with an annual inflationary increase.

Program Recommendations

Grants to Institutions to Encourage Minority Participation in Graduate Education (IX-A)

The Department's undergraduate internship program is a proven model for increasing minority graduate enrollment through summer research internships and additional educational enrichment programs for talented minority undergraduates. Such programs are highly effective in interesting students in and preparing them for graduate study.

1. Expand the program to include women in fields in which they are underrepresented: The Department should expand its minority undergraduate research internship program to include women. Participation by women in most science and engineering fields remains extremely low. Early exposure to scientific research could significantly expand the number of female undergraduates interested in academic careers in science and engineering fields. Special attention should be given to recruiting minority women through the program.

2. Eliminate or modify the financial need provisions governing internship stipends: The current financial need constraints discourage many undergraduates who would benefit from the program from participating because the stipend support they receive is so much less than the money they need to earn through summer jobs to help meet the coming year's college costs. If the stipend provided by the program is a barrier to participation, the purpose of the program is undermined.

3. Make available information on students supported as summer interns: The Department should collect information from grant recipients on student interns and their fields of study. This will allow universities seeking to increase their graduate enrollments of minorities and women to recruit from this pool of students.

4. Provide an authorization level of $25 million for the program: Continued progress on increasing the number of underrepresented students who pursue graduate education will require a substantial expansion of the pool of female and minority undergraduates who are candidates for graduate study. The Title IX internship program has demonstrated its capacity to enrich the educational experiences of talented undergraduates and encourage them to pursue graduate study. The higher education community has responded enthusiastically to the program, generating far more worthy proposals than can be funded with available funds. Furthermore, if the program is expanded to include women and if the financial disincentives to student participation are eliminated, the pool of undergraduates who would benefit from the program will be greatly expanded.

Patricia Roberts Harris Graduate Fellowships (IX-B)

The Department's graduate programs include two Harris programs with a broad mixture of overlapping provisions. The programs have provided valuable assistance to colleges and universities in attracting underrepresented students into postbaccalaureate programs. The Harris Graduate Fellowship Program awards grants to institutions and departments to support the postbaccalaureate study of students from groups underrepresented in master's, doctoral, and selected[4] professional programs. The Harris Public Service Fellowship Program supports primarily master's and some doctoral study in public administration.

Both programs should have as their central purpose increasing the participation of students from groups underrepresented in postbaccalaureate programs. However, the programs would be more effective if they were separately focused on the two proposed objectives of the Department's postbaccalaureate programs. The Harris Graduate Fellowship Program should be designed to increase the quality and diversity of the faculty by encouraging and enabling underrepresented minorities and women to pursue academic careers. The Harris Public Service Program should be substantially expanded to support the postbaccalaureate study of students from groups underrepresented in careers served by master's and professional programs (see section II below).

The Harris Graduate Fellowship program should be the major federal program encouraging talented minority and female students to pursue academic careers. To accomplish this critical objective, the program should be modified to provide up to five years of federal-university support as follows:

1. Focus the program on doctoral study leading to faculty careers through the provision of two years of support for entering graduate students and an added year of dissertation support contingent upon satisfactory progress to the dissertation stage: Two years of fellowship support for entering graduate students will provide an effective incentive for students to enroll in doctoral programs. The provision of a third year of dissertation support will reduce attrition and shorten time-to-degree by filling a gap in doctoral support that is especially critical in the humanities and social sciences. Making such support contingent upon the student's making satisfactory progress to the dissertation stage will provide an extra incentive to students and departments to complete doctoral study in the minimum time necessary.

   Increasing the number of minority and female faculty will have a ripple effect of providing strong role models for undergraduate students moving through the pipeline, enhancing the direct effects of program support.

2. Add a university matching requirement to provide trainees with up to two years of university-funded support, including at least one year of supervised teaching experience: Departments which receive program funding should provide assurances that they will provide up to two years of support including formal teacher training to carry trainees to the dissertation stage.

3. Provide an authorization level of $50 million for the program: The Harris program needs an authorization level commensurate with its proposed role as the federal government's primary federal program supporting minorities and women pursuing academic careers.

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[4] *e.g.*, the program supports graduate study in law and business but not medicine.

Jacob K. Javits Fellows Program (IX-C)

The Javits fellowship program is the only federally funded program that has as its express purpose supporting graduate study in the arts and the humanities, and is one of the few programs providing a small amount of support in the social sciences. Since it was first funded in FY 1985, the Javits program has encouraged some of the nation's most gifted college graduates to pursue graduate study. The projections of Bowen and Sosa cited earlier show that faculty shortages will be especially acute in the humanities and social sciences. The Javits program can play a critical role in averting those shortages by drawing increased numbers of talented students into academic careers in the arts, humanities, and social sciences.

The Javits program was intended to be the complement among federal fellowship programs to the prestigious National Science Foundation Graduate Fellowship Program; the current authorizing language states that the "stipend levels established by the Secretary shall reflect the purpose of this program to encourage highly talented students to undertake graduate study and shall provide a level of support compatible to that provided by federally funded graduate fellowships in the science and engineering fields." However, for FY 1992, the NSF program will support approximately 3,000 new and continuing students with stipends of $14,000 annually. The Javits program supports fewer than 500 students with stipends capped at $10,000.

Assuming that the level of support provided by individual fellowships is increased in accordance with recommendations made earlier (in the "General Provisions" section), the following changes should also be incorporated into the program's authorization:

1. Specify that the program should award 600 new fellowships and support up to 2,400 new and continuing fellows annually: Although this number of fellowships will leave the Javits program below the NSF program, it will increase significantly the number of high-quality students pursuing academic careers and will help reduce the projected faculty shortages in fields served by the program.

2. Provide an authorization level of $50 million for the program: This authorization level is necessary to accommodate the proposed increase in number of students supported and the amount of support provided by each fellowship.

Graduate Assistance in Areas of National Need (IX-D)

This program was added to Title IX in the Higher Education Amendments of 1986 and first funded in FY 1988. It has enabled high-quality graduate departments to expand their programs to respond to national needs primarily in science and engineering.[5]

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[5] In its first three years of funding, the program provided traineeships in physics, chemistry, math, and engineering; in FY 1991, foreign language and area studies were added as eligible fields.

The program should be modified in accordance with the proposed mission of the Department to support the preparation of academic faculty:

1. Allocate support to those disciplines in which faculty demand is projected to be acute: Manpower projections should not be used as precise allocation mechanisms but rather as a guide for determining funding priorities. The Secretary should select eligible fields on the basis of the projected need for faculty due to replacement demand, enrollment shifts, and emerging fields.

2. Add a university matching requirement to provide trainees with at least one year of university-funded, supervised teaching experience: Departments which receive program funding should provide assurances that they will include formal teacher training in the graduate programs of trainees.

3. Clarify that students who have received master's degrees from a different institution are eligible for support under the program: Although the current legislation states that departments "shall make commitments to graduate students at any point of their graduate study," the legislation should make explicit that students who have enrolled in a doctoral program after receiving a master's degree at another institution are eligible for support.

4. Provide an authorization level of $50 million: Faculty shortages are projected in virtually all arts and sciences fields by the end of the decade; shortages in high-demand fields already exist. The funding for this program will have to be substantially expanded to help increase the supply of faculty to meet increasing demand.

II. EXPANDING INDIVIDUAL OPPORTUNITY

In addition to a mission of enhancing the quality and diversity of college and university faculty, the Department should support a complementary objective of expanding individual opportunity. This objective should be accomplished in two ways: a grant program for students from groups underrepresented in master's and professional education, and the provision of adequate loan capital for all postbaccalaureate study.

Grant Support

The Department should administer a competitively funded program providing grants to institutions to support students underrepresented in selected careers requiring master's or professional degrees. Such a program could be established by either expanding the current Harris Public Service fellowship program or establishing a second program component to provide grant support to women and minorities in master's and professional programs leading to careers that serve a public interest and in which they are underrepresented, including academic careers.

The program should have the following additional characteristics:

1. Allocate awards based on success of programs in providing students with access to careers in which they are underrepresented: The principal measure of expanded individual opportunity should be career access and advancement. For example, although students pursuing Ph.D. degrees are generally better advised to enter doctoral programs directly, evidence that master's students supported in this program subsequently enroll in doctoral programs should also be considered favorably.

2. Provide traineeship support for up to two years of master's or professional study: Two years of support should cover all or most professional and master's study, since these programs are shorter than doctoral programs.

3. Provide an authorization level of $50 million for the program: Because both women and minorities are underrepresented in most master's and professional programs, the program needs to receive substantial funding to achieve its objective of expanding individual opportunity.

Loan Support

Loans provide a critical source of financial support for postbaccalaureate study. Loans are often the primary source of support for students in professional and master's programs, but they are increasingly necessary as a source of supplemental support in doctoral programs.

Direct Student Loan Program

The credit reform provisions of the Budget Reconciliation Act of 1990 provide a unique opportunity to develop a direct student loan program that could improve financial assistance for students, simplify administrative procedures for institutions, and reduce costs to the federal government.

Due to credit reform changes, the costs to the federal government of Guaranteed Student Loans and direct loans will now be determined in the same way. Only the costs of obtaining loan capital and providing loan subsidies will be counted in the federal budget; the volume of loan capital itself will no longer be counted. This opens the door for a direct loan program that could have an entitlement status equivalent to the current GSL program. The government could generate loan capital through the sale of government securities. The volume of loan capital could be determined by student demand as in the current Stafford program. However, a direct loan program would eliminate or reduce the role of banks and guarantee agencies and the attendant costs to the federal government of securing private capital. Such a program would therefore be simpler and cheaper than a comparable Stafford program.

A number of questions remain to be answered concerning the implementation of a direct loan program. But its potential for providing improved financial assistance at reduced cost warrants careful examination by the Congress during reauthorization.

Use of base-year vs. estimated-year income for determining financial need

The use of base-year income—the income earned in the year before enrolling in an academic program—penalizes a large proportion of postbaccalaureate students who have worked for a year or more after completing their undergraduate education. Financial aid administrators have authority to exercise professional judgment and use projected current year income when they believe it would provide a more appropriate determination of a student's expected contribution. However, since use of base-year income is inappropriate for so many professional and graduate students, use of current year estimates should be the rule, with professional judgment applied to the exceptions where base-year income would be more appropriate.

Inclusion of costs related to postbaccalaureate activities in federal student aid budgets

Students in professional and certain graduate programs often incur activity costs which are directly related to those programs and are essential to the completion of educational objectives. Although not legislatively proscribed from student budgets, Department regulations prohibit the use of federal financial aid to meet such costs as fees for licensing exams. Consideration should be given to modifying need analysis legislation to include explicitly such costs in determining student budgets.

Loan limits

As with other higher education sectors, graduate and professional education costs have risen considerably in recent years. Particularly in professional programs, the combination of high cost and length of study have pushed students to their annual aggregate loan limits well before total educational costs are met. Consequently, students must borrow from unsubsidized, higher-interest loan programs, which substantially increases their indebtedness. Increasing the annual loan limits on subsidized loans would reduce students' dependence on higher-cost loan programs, resulting in more manageable debt levels and reducing the financial barriers to lower-paying careers that serve society's poor and disadvantaged.

Loan deferments

Some professional school graduates must continue their training to gain practical experience in their chosen field or specialty. Medical residents in particular must train in a hospital or health care facility for three to seven years or more. In recognition of the difficulty in making loan repayment during continued training, the Title IV statute provides a two-year deferment of Stafford and Perkins loan repayments during such extended training. However, many residents must continue in a training program beyond two years. An extension of the deferment period to three years would bring policy into closer accord with reality and help alleviate the indebtedness barrier to expanded access to health professions education.

Incentive grants to institutions for the establishment of loan repayment programs

Congress should consider establishing a program of matching grants to institutions for the development of loan repayment programs that would encourage and assist graduates to enter low-paying careers serving underprivileged populations. Some institutions have begun such programs on their own: a medical school provides loan repayment for graduates who choose to practice primary care medicine in rural, underserved areas; a law school provides loan repayment for graduates working in public interest law; a business school provides loan repayment for nonprofit or public service management work by its graduates. A federal matching program could enable a larger number of institutions to adopt such programs.

CONCLUSION

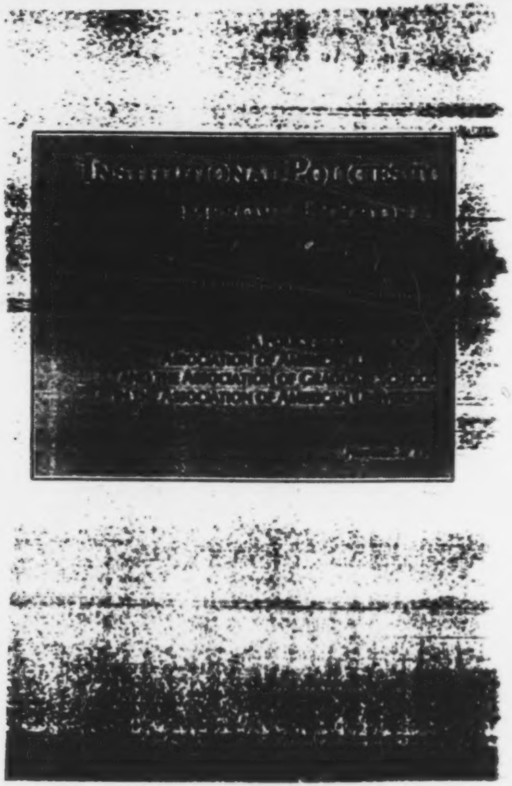
Graduate and professional education provides access to careers critically important to the nation. The Department of Education can play a distinctive federal role in supporting graduate and professional education by focusing on enhancing the quality and diversity of college and university faculty and expanding individual opportunity at the postbaccalaureate level.

The recommendations presented in this paper will provide the Department with the tools to fulfill this mission. The Title IX fellowship and traineeship programs provide complementary forms of support at the graduate level, as do the Pell Grant Program and campus-based grant programs at the undergraduate level. The proposed modifications to the undergraduate internship program would substantially expand the pool of students from underrepresented groups who are prepared for graduate education, and the fellowship and traineeship programs would provide multiple entry points into graduate programs for these students, accommodating the multiple paths leading to the Ph.D. The matching requirement for university-funded supervised teaching added to the traineeship programs would encourage the development of both the teaching and the research dimensions of academic careers.

The Department's capacity to expand individual opportunity would be substantially increased through the creation of a comprehensive grant program for master's and professional study for students from groups underrepresented in careers to which those programs provide access. In addition, the improvement of loan support through the creation of a new direct loan program and the strengthening of existing programs would provide valuable financial resources for students in all postbaccalaureate programs.

By administratively consolidating the Department's graduate and professional programs and providing the means to recruit campus administrators to assist in managing those programs, the Department would be given the staff capacity to manage this strengthened portfolio effectively and productively.

March 29, 1991



Introduction

Through doctoral education, talented students master the advanced concepts of a particular field of intellectual inquiry and develop the capacity to make independent contributions to knowledge. The quality of students entering our doctoral programs, after a period of decline, is now showing signs of recovery; some (though not enough) of our most talented U.S. college graduates are enrolling in doctoral programs, and these programs draw some of the best students from foreign countries as well.

Closer examination, however, reveals several disturbing trends:

- The proportion of U.S. students earning doctoral degrees has been declining for two decades, and the absolute number of U.S. doctorate recipients has been declining for more than a decade.
- The proportion of the very strongest students enrolling in doctoral programs has been declining for more than two decades;[1] it is not clear whether recent signs of recovery are the beginning of a sustained reversal.
- Many of those students who do enroll are taking too long to complete their degrees: in 1988, the median registered time-to-degree was 6.9 years.[2]

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[1] The proportion of Rhodes Scholars, Phi Beta Kappa recipients, and students in the top 3-5% of college classes who enroll in doctoral programs has been decreasing since the late '50s and early '60s. Arthur M. Hauptman, *Students in Graduate and Professional Education: What We Know and Need to Know* (Washington, D.C.: Association of American Universities/St. Mary's Press, 1986).

[2] Total time-to-degree *(TTD)* is the calendar time between earning a bachelor's degree and a doctorate; registered time-to-degree *(RTD)* includes only time in graduate school.

- Attrition appears to be disturbingly high; although national data are not available, estimates place the average attrition rate at 50 percent, and it is often higher in some fields of the humanities.

The well-documented projections of severe shortages of Ph.D.s beginning in just a few years make these trends in doctoral education all the more disturbing.[3]

The Charge

Because of their concern about these projected shortages and the trends in doctoral education which are impeding Ph.D. production, the member presidents and chancellors of the Association of American Universities (AAU) asked the Association of Graduate Schools (AGS), comprising the graduate deans of their institutions, to recommend institutional policies which can improve the effectiveness and efficiency of doctoral programs.

The AGS Executive Committee appointed a task force of graduate deans to carry out this request. A draft report prepared by that group was discussed by the AGS graduate deans at their 1990 annual meeting. A revised report was submitted to the AAU presidents and chancellors for their consideration at their fall meeting. Changes recommended by both groups have been incorporated into this text, which contains the joint views and recommendations of AAU and AGS.

Institutional and Individual Differences and the Nonacademic Environment

Graduate education is organized in diverse ways in this country's research universities. Institutions and departments vary in their traditions, practices, size, and comprehensiveness. Academic fields differ in disciplinary ethos, programmatic requirements, and funding patterns. We have sought to provide clear descriptions of current problems and to offer recommendations for improvement. But we recognize and stress at the outset that institutions and departments experience those problems to differing degrees and will need to implement our recommendations in ways appropriate to their particular circumstances. We are aware that a number of institutions have established or are developing policies that incorporate some of these recommendations.

Moreover, we understand that graduate students differ greatly in their capacity for effective self-direction and their need for advice and support. Our recommendations are intended to promote an educational environment that will better inform choices by graduate students; obviously, these recommendations will prove more useful to some than to others.

Further, our report restricts itself to the academic environment. We do not thereby intend to imply that such problems as housing, health care, child care, and socialization into the university community are unimportant. Indeed, these issues take on increased importance with the increasing diversity of our graduate student bodies. The mixture of students of different races and cultures enriches the intellectual and social context of our graduate programs but adds new challenges as well. Although the resources available to meet even basic academic needs are limited, we believe that universities should strive to provide a supportive environment for all graduate students, one which enables them to confront their academic challenges with minimal distractions and therefore with better chances of success.

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[3] William G. Bowen and Julie Ann Sosa, *Prospects for Faculty in the Arts and Sciences* (Princeton, NJ: Princeton University Press, 1989); Richard C. Atkinson, "Supply and Demand for Scientists and Engineers: A National Crisis in the Making," *Science* 248 (April 1990), 425-432.

Institutional Policies Governing Doctoral Education: Problems and Recommendations

We believe that the reduced participation in doctoral programs by U.S. students is caused in part by the costs and risks reflected in long times-to-degree and high attrition rates. Moreover, we see ample evidence that lax practices and unenforced policies within universities contribute to high attrition and prolonged completion times. We recognize that there are clear limits to what can and should be done about these problems: not all students who enroll in doctoral programs should complete them; some of those who do not finish nonetheless benefit from graduate study; many factors which may extend time-to-degree reflect legitimate academic considerations; some of the causes of attrition and extended completion times are beyond the control of institutions and their faculty. The severity of these problems varies greatly by discipline, institution, and department. The task for university administrators responsible for doctoral education is to identify those contributory factors over which we can exert control and to adopt policies that will minimize their impact.

No set of policies, however carefully crafted, can succeed without the active participation of the faculty who carry out graduate education; to bring about the program improvements that are needed, it is imperative that administrators secure the understanding and support of the faculty.

Teaching by Graduate Students

Problems

Since virtually all doctoral students, whether or not they enter the academic sector, will be engaged in not only the creation but the dissemination of knowledge, the skills acquired in learning how to teach will be fundamental to their future work. Yet in far too many programs, effective teachers are produced by happenstance rather than by design. Graduate students often teach too much but are not sufficiently assisted in becoming effective teachers; we find this both ironic and unacceptable.

The primary reason why graduate students should teach is to prepare them to be effective teachers. Graduate students constitute an appropriate and important component of the teaching personnel of research universities, but far too many departments have become dependent on graduate students to meet their teaching requirements. Because departments have financial and other incentives for maintaining a heavy use of graduate students as teachers, graduate students often become caught in a financial vice, with teaching as their sole source of support. Extreme examples, reported from several campuses, include creating new undergraduate course sections, not because they make good educational sense but because they provide convenient financial support for graduate students.

We believe that excessive teaching is a major contributor to prolonged time-to-degree. It is unlikely that any true educational purpose is served by teaching more than three years as a graduate student. Other sources of support should be sought for students who have reached this limit.

At the other extreme are students who teach too little or not at all. A student who has sufficient financial support from fellowships, research assistantships, or other sources may do no teaching during his or her entire doctoral program unless it is specifically required.

The issue, here as elsewhere, is one of balance: some students may need to teach more than is necessary for pedagogical reasons in order to generate needed financial support; some students planning nonacademic careers may teach little. We recognize that teaching can have a powerfully reinforcing influence on a student's commitment to completing the doctorate. On balance, we are strongly committed to two objectives: first, that all students should do some teaching; second, that no students should substantially extend their completion times by teaching.

Recommendations

- Departments and programs should assure that their graduate students receive instruction in teaching methods, with assessments and feedback on teaching performance and, if possible, with a progression of increasingly advanced teaching experiences including significant in-class teaching.
- Departments and programs which do not require teaching should review the objectives of their graduate programs and seriously ask themselves why some teaching should not be required of all students.
- Universities should limit the number of terms graduate students are permitted to teach; other sources of support should be sought for students who have reached that limit.
- Course sections should never be offered when the principal justification is to provide financial support for graduate students.

Research

Problems

Graduate students form an integral part of the academic research enterprise, conducting a large portion of university research and infusing it with fresh energy and creativity. But the principal purpose of graduate student research remains pedagogical: graduate students need to learn how to perform research, demonstrate that ability in their dissertations, and then move on. In the natural sciences and engineering, research assistantships provide graduate students simultaneously with financial support and with research experience as apprentices to faculty investigators. Such support falls short of its potential when research assistants continue to be used as low-level assistants—thereby failing to acquire increasing experience in research methodology—or are obliged to work in areas far removed from their own emerging areas of interest.

We know of instances where faculty investigators have prolonged the time graduate students have spent in their laboratories chiefly because of their value to the faculty member's research. In other cases, a graduate student may seek extended research work in order to learn new techniques or generate more publications. However, students are almost always better off expanding their research expertise as faculty and nonacademic professionals after having received their doctorates rather than prolonging their apprenticeships as graduate students.

In the humanities and the humanistically oriented social sciences, as currently practiced, the major problems are twofold: the absence of mechanisms (owing to different traditions and patterns of research) for involving graduate students early and often as active participants in research, and the absence of financial support for the research they do perform. The time-to-degree in the natural sciences is consistently shorter than in the humanities and related social sciences. Where the data are available, attrition rates are shown to be significantly lower in the natural sciences as well.[4] There is strong reason to believe that the collaborative research model that characterizes faculty-student relationships in the sciences is a key factor in the generally more efficient doctoral programs in those disciplines.

Dissertation: For most doctoral students, the preparation of the dissertation constitutes the most critical period in doctoral education, the period most difficult to initiate and to complete. The two principal problems with dissertation work are first, the difficulty many students—particularly in the humanities and social sciences—have in developing a dissertation topic, and second, the excessive scope of some projects.

We suspect that the increasing complexity of academic subfields may be largely responsible for the first problem, and that the recent sluggishness of academic labor markets (when an exceptionally comprehensive thesis is seen as indispensable in competing successfully for available positions) contributes significantly to the second. But conditions have changed, and we believe it is time to reaffirm that the primary purpose of the dissertation is to demonstrate a student's capacity for independent work; it need not go beyond that demonstration.[5]

Postdoctoral fellowships: Postdoctoral work is a rapidly growing dimension of the academic environment that is not well organized on most campuses. Although postdoctoral appointments occur primarily in the sciences, they are increasing in the social sciences and humanities as well. It is unclear to what extent this increase reflects the growing complexity of research and the concomitant need for more research training, the need for a "holding pattern" in the tight job markets that continue to exist in many fields, or the desire to increase one's publication record to improve employment prospects.

There is enormous variation by field in the proportion of doctorate recipients who pursue postdoctoral training and in the role that training plays in the professional education of persons entering a discipline. In some disciplines, postdoctoral work is limited primarily to individual requirements for additional specialized training. In other fields, the growing array and complexity of research techniques has made postdoctoral work an almost essential component of advanced education for most students, so much so that it might reasonably be included in computing the time-to-degree.

At their best, postdoctoral fellowships provide a valuable opportunity for students to expand their research skills, and the presence of postdocs in research laboratories is beneficial to faculty and graduate students alike. However, the increasing frequency of postdoctoral appointments (postdocs are often taken successively at two different institutions) may in some cases have the unintended effect of diminishing the significance of the dissertation as a demonstration of appropriately broad research capability and thereby of extending doctoral education unnecessarily into postdoctoral work.

Although conclusive data are not presently available, colleagues on some campuses express concern that faculty investigators are supporting postdoctoral fellows rather than graduate research assistants on research grants because postdocs may be less costly, have more advanced skills, and can devote more time to research. We urge that faculty and administrators examine the roles of postdoctoral fellows and graduate students in their departments and programs to provide assurance that both groups are appropriately integrated into the institution's research and educational functions.

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[4] Where comparisons have been undertaken, time-to-degree and attrition are found to vary in similar ways.

[5] Recognizing the critical—and changing—role of the dissertation, the Council of Graduate Schools has conducted a major study, *The Role and Nature of the Doctoral Dissertation*, which we commend to university faculty and administrators.

Recommendations

- Graduate students should be encouraged to begin early to learn the research and scholarly techniques of their discipline and to begin preparing for and carrying out dissertation research as early as possible; faculty should not permit students' research to prolong unnecessarily the time-to-degree.

- Research assistantships should maintain a dual purpose of supporting the conduct of research and of providing students with instruction and financial support.

- Departments and interdisciplinary programs in the humanities and related disciplines should develop ways for faculty to involve their students actively and early in research projects or comparable initiatives that will provide apprenticeship research training analogous to that provided in natural science and engineering fields.

- Departments and programs should develop mechanisms such as research seminars, laboratory work, and student-advisor consultations that lead to the timely development of dissertation topics.

- Advisors must assume more responsibility in certifying that the dissertation topic is a realistic project that can be completed in a reasonable period of time; departments may wish to consider establishing a recommended upper limit to the length of the dissertation; in those cases where a dissertation of exceptional scope is being considered, the advisors should make certain that the student is making a fully informed choice.

- Universities and departments should make every effort to assure that students have sufficient financial support to permit full-time attention to their dissertations once the work is in its final phase.

- Departments should consider organizing seminars or other appropriate group discussions which provide feedback to students working on their dissertations.

- Graduate schools should work with departments and programs to develop effective procedures for monitoring the progress of students working on their dissertations; this might be accomplished by use of progress reports during the dissertation stage, generated by or shared with the student, which could be submitted annually by the faculty advisor to the Department Chair and forwarded to the Dean of the Graduate School.

- University administrators should review the number and use of postdoctoral fellows to assure their effective incorporation into the missions of the university.

Faculty Teaching and Mentoring

Problems

In addition to formal teaching, advice and support from faculty mentors are critical to students' success in their doctoral programs. While this observation is scarcely novel, current features in the university environment make its reaffirmation extremely important. Teaching of graduate students ranges from formal classroom instruction to individualized mentoring. Graduate student mentoring is often a "hidden" effort, usually unreported and uncounted in official assignments of faculty duties. Given the competitive pressures for sponsored research funding; given new commitments to undergraduate teaching; given the increased opportunity for interdisciplinary research and the demands which this imposes; given, finally, the increased opportunities for faculty leave time available for guiding graduate students is often inadequate. As a result, effective faculty advising frequently occurs only at the initiative of unusually conscientious professors or persistent students rather than as a central component of regularly recurring faculty responsibilities. To restore balance and to guarantee sustained and predictable advising, we believe that departments should designate faculty advisors for all graduate students and should assure the maintenance of advising during scheduled faculty absences. Beyond the specific student-advisor relationship, faculty advising in the broader sense is properly the responsibility of all the graduate faculty with whom a student works.

In addition to advising students on the core activities of their graduate programs, faculty should, through both formal seminars and informal advising, instruct students in the broader issues of professional responsibility and ethical behavior in teaching, research, and scholarship.[6]

Recommendations

- Departments should establish explicit expectations and enforce explicit requirements for those faculty who advise graduate students.

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[6] For an excellent discussion of good practice in the relationship between graduate students and their research supervisors, see *Research Student and Supervisor*, published by the Council of Graduate Schools (One Dupont Circle, N.W., Suite 430, Washington, D.C. 20036-1173).

- All graduate students should have a designated faculty advisor at all stages of their programs and should be made aware of the importance of a careful choice of the dissertation advisor.

- Institutions and departments should recognize and appropriately reward the full range of faculty teaching and advising of graduate students.

- The schedule of anticipated faculty leaves and absences should be publicized within the graduate student community, and departments should assure the continuity of advising during absences as well as a known schedule for the teaching of "key" graduate courses.

Faculty advisors should assist students to:

- select coursework that matches the students' needs and interests, and recognize that curricular options which broaden academic experience may also extend the length of graduate programs;

- participate early in seminars, laboratory work, or other activities that engage students in research and assist them in the expeditious development of dissertation topics;

- define dissertation topics of realistic scope that can demonstrate a student's ability to make independent contributions to the field without encouraging projects of excessive magnitude, requiring several years to complete;

- develop a clear sense of professional responsibility and ethical standards of conduct in teaching, research, and scholarship.

Curriculum

Problems

We believe that in many cases the content, shape, and focus of the graduate curriculum warrant fresh examination. The cumulative effects of curricular changes through simple accretion are a poorly integrated set of courses and a proliferation of requirements. The emergence of new and specialized subfields can undermine faculty agreement as to what constitutes the essential, substantive basis of many disciplines and lead to an accumulation of new "options" in graduate study. If unchecked by faculty counsel and departmental guidelines, students can postpone their advancement to candidacy through excessive coursework or through a real or perceived need to demonstrate mastery of several subfields.

At the same time, curricular requirements should have sufficient breadth that all students emerging from the program are well versed in the fundamental aspects of the discipline necessary for both teaching and research.

Recommendations

- New courses should be appropriately integrated rather than simply added to the existing curriculum; where possible, new courses and seminars should displace other components of the curriculum. The addition of new courses and the emergence of new subfields will require periodic redefinition by the faculty of what constitutes the coherent core of the discipline.
- Course requirements should provide sufficient flexibility to match coursework to expected career paths while assuring that all students receive the breadth of learning necessary for a comprehensive grasp of the discipline.
- Students should be adequately advised about preparation for qualifying examinations; the examinations should not be so open-ended that students are driven into excessive coursework in preparation for them.

Evaluating Student Progress and Performance

Problems

We recognize that selecting students who have the ability, motivation, and discipline to complete doctoral programs is a difficult, inexact, and often highly subjective process. The objectives of doctoral education—mastery of a field and the ability to make independent contributions to it—require the development of aptitudes that cannot be directly evaluated by prior activities or accurately predicted by quantitative indicators.

Because of the difficulties of selection, it is imperative that doctoral programs evaluate students' progress, identify those students who should make other career choices, and help students who are experiencing correctable problems. When attrition occurs unnecessarily, students have been mistreated. When attrition occurs unnecessarily deep into the program, students, faculty, and institutions are expending resources to little or no good purpose.

We believe that early and effective assessments of student performance and periodic monitoring throughout doctoral programs can be valuable tools for improving those programs and student performance in them. However, we do not intend to advocate the development of yet another set of reports that contribute to the accumulation of paper but not to the improvement of education. Institutions and departments should design assessment procedures that best fit their circumstances. In some cases, an annual self-evaluation by students with an accompanying comment by the faculty advisor may be desirable; in other cases, it may be preferable for faculty to prepare evaluations. What we recommend is the development of forms of assessment that will produce meaningful information which will be used to good effect while minimizing bureaucratic intrusiveness on faculty and students.

Both fairness and efficacy require that evaluation procedures be accompanied by well-publicized expectations for student performance, grounds for dismissal, and procedures for appeal. Students who are being evaluated have a right to know in advance what is expected of them and how to challenge the judgments made of them.

Departments also should gather and make available data on actual performance and should adopt procedures to bring actual and expected standards into accord; if a program's announced time-to-degree is four years and the actual lapsed time is seven years, the program has created false advertising that undermines student performance and faculty expectations.

Recommendations

- Departments should develop and publicize, along with curricular requirements, realistic expectations for performance, including norms for time-to-candidacy and time-to-degree.

- Departments should require a written assessment of performance at the end of a student's first year, and should conduct an annual review or some other form of formal evaluation of progress throughout the student's program; such assessments might be prepared by students or their advisors but should be shared with both; appropriate actions should be taken on the basis of these assessments to bring actual and expected performance into accord.

- Universities should have explicit, well-publicized dismissal and appeal procedures.

Postscript: Funding for Doctoral Study

Although the purpose of this paper has been to recommend improvements in institutional policies, we would be remiss not to point out the critical role of financial support for students pursuing doctoral degrees. Particularly in the face of the projected shortages of Ph.D.s and the need to increase substantially their numbers, the provision of adequate, reliable financial support is necessary to attract talented students—who have many other career options available to them—into doctoral programs. The form such support takes can have a profound effect on students' progress through their programs. Students who lack subsidized support in the form of fellowships, traineeships, and teaching and research assistantships must rely on loans, work, or personal finances to pay for their education. A heavy reliance on loans is inappropriate for students who are adults (often with dependents), who frequently are already burdened with indebtedness from undergraduate loans, and who are embarking on extended courses of study at a point when most college graduates begin regular employment. Students who must rely on work outside their academic program as their primary means of support will almost unavoidably extend their times-to-degree. Excessive reliance on teaching assistantships for financial support also may extend completion times. Recent data indicate that, of those who complete their dissertations, students supported on fellowships, traineeships, and research assistantships have the shortest times-to-degree. Students supported on teaching assistantships take longer to complete their degrees, and students supported by loans and personal income have the longest times-to-degree.[7]

Clearly, some combination of grants and assistantships which include teaching would provide optimal support over the course of doctoral study; a careful analysis is needed to identify the optimal combinations by field. Nevertheless, doctoral study in virtually all disciplines is underfunded, and we strongly endorse the recommendations for expanded federal support for doctoral study made by AAU and other organizations and individuals.[8] Although we recognize the financial constraints on universities, we also urge university administrators to increase support of doctoral study, particularly at such critical junctures as the dissertation stage.

Conclusion

Universities which have carried out comparative assessments of doctoral programs have found that departments with well-structured programs, clear expectations of graduate student performance and faculty responsibilities, and widely shared faculty commitments to encouraging and facilitating students' progress have lower attrition rates and shorter times-to-degree than comparable departments whose programs lack those properties. We believe the recommendations presented here identify actions which can improve the universities' collective performance.

We recognize, however, that policy changes alone are insufficient; the commitment to implement them is crucial. We hope that presidents and chancellors, graduate deans, and other administrators will work with departments, programs, and faculty on each campus to translate these recommendations into effective procedures in the ways most appropriate to their institutional settings. To do so will require a serious commitment by all those in universities who are responsible for the administration and delivery of graduate education. University, departmental, and program administrators need to develop appropriate incentives which reward strong faculty performance in doctoral education. A concerted effort by all universities will improve the effectiveness of individual programs and will strengthen Ph.D. production nationwide.

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[7] National Research Council, *Summary Report 1987—Doctorate Recipients from United States Universities* (Washington, D.C.: National Academy Press, 1987).

[8] The AAU position paper, "The Ph.D. Shortage: The Federal Role," calls for a doubling of the number of predoctoral fellowships and traineeships, increased support through research assistantships, and expanded incentives for underrepresented minorities and women. Atkinson (op. cit.) calls for a new National Program for Graduate Study awarding 3,000 new four-year fellowships annually for a steady-state program of 12,000 new and continuing fellowships. The National Association of State Universities and Land-Grant Colleges has developed a proposal for 1,000 new four-year engineering fellowships for a steady-state program of 4,000 new and continuing fellowships.

Chairman FORD. Thank you very much.
Dr. Morris.

STATEMENT OF FRANK L. MORRIS, SR., DEAN OF GRADUATE STUDIES AND RESEARCH, MORGAN STATE UNIVERSITY

Mr. MORRIS. Mr. Chairman, Congressman Coleman, Klug, Gunderson and Congressman Hayes and Roemer. Congressman Hayes, we know and go back some time.

I also want to thank you for this opportunity to testify on the issue of graduate education. I happen to represent a historically black institution, one of the premier historically black institutions, Morgan State University, but I think that we identify with the problems that I want to address are across all of American higher education.

One of the things in my statement I noted is that over time, we seem to be losing the battle for equal graduate education in spite of the efforts of this Committee and in spite of the efforts of the Federal Government over the years. In the past, I also noticed that we tried to argue that this was a moral cause. That doesn't seem to have made much impact. In the mid-1980s, there was publication of a number of major studies.

I am sure everyone was familiar with them—the Third of a Nation Report, the Workforce 2000. It showed that as we approach the next century, that our workforce would be more dependent on African-Americans, Hispanics and other minorities, women, than it had been at any time in the past.

So we thought that this argument would really make it clear to all America that it wasn't just a moral issue. This was an issue of interest. But in spite of those reports, we find trends that really show that we are losing the fight. I am going to really give you some evidence of that.

I want to also identify very strongly with Representative Coleman's remarks about how we are, in fact, for many of our graduate programs, that non-American citizens are predominant here. Now, they make a great contribution, but I want to just show you in contrast what is happening to some, especially American minorities. I am going to focus on African-American minorities, because our African-American situation is worse than other American minorities when we look at aspects of graduate education.

The data from the annual reports, the American Council of Education, their eighth annual report, showed that from 1978 to 1988, you found a 47 percent decline in the number of African-American males receiving doctorates in the United States. This was a staggering figure. At the same time, you saw a number of non-American citizen doctorates increasing by 63 percent.

Now, you say: What do those two things have to do with anything and each other?

One of the things which is important is that other studies have shown that financing is very critical as to who—as Congressman Hayes noted, who gets doctorates and who doesn't? So let's look at the role of the Federal Government in terms of funding who gets doctorates.

Our National Science Research Council, the National Academy of Sciences, in their 1989 report, for the first time from a survey showed how American doctorates and non-American citizens doctorates get their primary funding. It noted that the Federal Government, us, you and I, are responsible for about 9 percent as the primary resource for funding of non-American citizen doctorates.

Now when we translated that into actual numbers, then it means that the Federal Government accounted for the primary source of funding for about 828 non-American citizens doctorates. I said for a minute that this was important, because if we look in contrast—let's say look at African-Americans, that same study that shows the African-American doctorates of where the Federal Government was primarily responsible for funding of about 8.3 percent. That translates in 69 African-American doctorates where the Federal Government was the primary source.

Other financial information was also critical. It showed that African-Americans more than any other group was primarily responsible for—used personal funds to finance their doctorates for almost 60 percent of the cases. For those who received doctorates, the primary source of funding for African-Americans was almost 60 percent. For non-American citizens at American universities, it was only 15 percent that have to use their personal funds. So there are trends, which should really reinforce the real need for funding and for increasing our focus in supporting our own in terms of funding.

Now, I want to also note that over the period, there is significant drops in African-American master's, too. Thirty-four percent from 1978 to 1988, and 34 percent for African-American males; 31 percent for African-American females. This is important for doctorates, too, for African-Americans, because many African-American surveys that I look at my own institutions, Morgan and Howard, almost two-thirds of our faculty who get terminal doctorates have received master's degrees at a different institution than their doctorate degree.

So our master's supply is very important in terms of increasing our doctoral supply. So I am going to be pointing out that one of the remedies of this is the tremendous increase and in the emphasis and policy, which we hope that this Committee will see toward the Harris program as one example in terms of the new direction, which we want to support.

The new direction, not only in terms of magnitude, but one of the things that I hope we will start to all think about is not just look at programs in terms of incremental amounts of money, but ask the questions: How do these address the need? Where is this ever talked about? What is the need and how is what we are proposing, what we are doing, addressing the need?

The figures which I am showing you now is that, as the need is going great, or getting worse for certain American citizens and American minorities, we have not—it doesn't seem to be part of the equation in terms of the justification for the funding levels. So I am asking that you really—that we really reconsider that, and take that into consideration for a much greater magnitude of the policies that we'll undergo with these programs.

One of the things that is really important are that emphasis—that African-American students, who are likely to become Ph.D.

programs, have important role models. Some of the programs which we are asking you to support really encourage institutions to provide mentors, and to really reinforce. The minority summer programs are tremendously important. The McNair fellowships are important. These kinds of programs are vital.

One of the proposals that is being put on the board by the administration is the, for instance, the combining of the trio and the McNair. We need both. That is what I want to emphasize. That the need is so much greater for so many of these programs that we talk about either incremental gains or incremental losses or consolidations when we do not focus on how they are meeting the need? I am hoping that you will ask that question, and that that becomes a fundamental aspect of determining the policy around the programs.

Let me just simply say that one of the other things that I fully support is the increase—and women as eligible recipients for the summer research programs. We are talking about a two-phase increase in the—two-phase reconstitution of the Harris program—one that will focus entirely on Ph.D.'s. And that needs—I can show you if you like justification for $50 million for that alone, a similar kind of component increase for the consolidation of the public service programs into master's programs, widening the eligibility of that.

Once again, the need is just really so great that these programs need to be significantly expanded, and, in fact, broadened. I, myself, am a person who took a master's program, a different degree at a different place from my final institution. In my case, it was MIT and Syracuse.

One of the other kinds of issues, which I really want to bring here is to make two final points. One is that one way to really increase the supply of minority students is to look at ways of increasing the capability of historically black institutions to offer graduate programs. This can be done either by expanding activities in Title III or possibly a new initiative in Title IX. This needs to be focused on if we are really looking at the supply.

The other question is the question of need. One of the ironies of the discussion on need is the assumption that by having a need-based requirement, that that increases the likelihood of minorities getting some of these fellowships. The irony is that it doesn't. Undergraduate and graduated education, the fundamental question of needs-based determines who gets assistance and how much. Graduate education, since all graduate students are independent students, it doesn't really impact upon who.

So in terms of simplification, if simplification is one of the goals as Mr. Childers says—and it should be one of the goals, the needs based criterion is—and the red tape and other things around, I would just urge you to consider really eliminating that, because that really isn't the impact. It doesn't impact on the skill and the magnitude.

What will impact greatly on the magnitude and the access of minorities is to have a policy that first starts to address the question of the need and the relationship, accountability of our programs as to how close we are coming or not coming toward making that need. I thank you very, very much for this opportunity to make this explanation.

[The prepared statement of Frank L. Morris, Sr. follows:]

TESTIMONY
TO THE
POSTSECONDARY EDUCATION COMMITTEE
OF THE COMMITTEE ON EDUCATION AND LABOR
OF THE UNITED STATES HOUSE OF REPRESENTATIVES

On behalf of:

Association of American Universities
Council of Graduate Schools
National Association of State Universities and Land–Grant Colleges

Dr. Frank L. Morris Sr.
Dean of Graduate Studies and Research
Morgan State University

13 June 1991

I would like to bring greetings to Chairman Ford and other members of the Committee on Education and Labor from the President and Regents of Morgan State University, one of our premier urban state universities. At Morgan we are proud of our tradition of being one of 117 historically Black Colleges and Universities in the United States.

In the past, we Black or African Americans have urged Congress to expand educational opportunities, including graduate educational opportunities, for African Americans because it was the morally right or correct thing to do. African Americans in this country have had a long history of discrimination. Today that history continues to haunt millions of African Americans, and to place great obstacles before them as they attempt to claim their share in such basic American opportunities as education. As a nation, we have recognized the inequalities that remain for African Americans and have attempted, as a matter of social policy, to redress them.

However, as this committee is no doubt aware, arguments for African American educational opportunity based upon morality or equity are often not persuasive to a majority of Americans. Even if the moral argument for expanding graduate educational opportunities for African Americans seems to some inadequate, we are also faced with other, more practical reasons for continuing to provide the kind of support that ethical considerations demand. I refer to the drastic changes in the demographic makeup of this country discussed in the Third of a Nation Report and the Workforce 2000 reports. These reports gave new hope to African American educators in the early and mid 1980's, because they provided statistical evidence for our already-held assumptions that in the coming decades, African Americans and other minorities would play an increasingly important role in the shape of our nation.

These documents, based on census projections, noted that our American workforce early in the next century would have a higher proportion of African Americans, Latinos, and women than any time in the past. Other reports also noted the decreasing ratio of working to retired Americans. These reports warned us that it clearly was in the interests of all Americans to be sure that every American was educated to his or her capacity so that they would be a vital part of making our country as a whole more productive. This was an American–interest argument, not a moral argument for educational equity.

Another piece of evidence to suggest that we must, for practical reasons, do a much better job of providing African Americans and other minorities with opportunities for graduate education is our current dependence on foreign students to fill graduate programs. While the many talented foreign students pursuing graduate study in this country provide a valuable resource for both education and research, we should guard against an excessive dependence on any foreign resource; it is unwise national policy to rely so heavily on foreign students and faculty to be the professors, scholars and industrial leaders of the future.

Our growing dependence on foreign talent is especially troubling in light of its stark contrast with the plight of American minority students, who either are making no progress in increasing their participation in graduate education or, in the case of Black males, are losing ground. Let's look at some facts. Data from the eighth annual report of the Committee on Minorities of the American Council on Education notes that from 1978 to 1988 the number of doctorate degrees earned by U.S. citizens declined while during the same time period, non-U.S. citizens received considerably more. The decline in Black male doctorates was especially severe at 47%. Conversely, non-U.S. citizens posted a 63% increase in doctorates during this same period. It is essential that the Congress take at least the minimum steps to assure that Americans of color begin to move to some degree of parity in graduate education with international students who are not American citizens. The recent April 1991 report of the National Science Foundation shows that over the decade of 1980-1990, while African American male doctorates declined by 35%, the number of doctorates awarded to non-American citizens increased from 12 to 23% of all doctorates awarded by American universities. The 1989 report of the National Research Council points out that the federal government is the primary source of support for 9% of the doctorates earned by foreign students. This means that approximately 847 foreign students received significant support from U.S. government sources. Yet only 828 African Americans earned doctorates, and the federal government was the primary source of support for only 8.3% or 69 African American doctoral students. (National Research Council 1989 Report, page 26). Furthermore, almost 60% of Black doctoral recipients reported providing primary support for doctoral studies from personal funds while in contrast, less than 15% of non-American citizens reported similar support patterns. Is it any wonder that African American doctorates are declining while doctorates to non-American citizens are doubling over the decade?

The situation is almost as bad for African Americans receiving master's degrees. Once again, from 1978 -88 the number of master's degrees earned by African Americans decreased by 31.8% overall and 34% for African American males. In addition, African American women experienced a 30.5% drop at the master's level. The master's degree also has significance for African Americans in helping to explain the decline in Black doctorates. When I examined my faculty at Morgan and at Howard, I found that two out of three African American scholars who had received a Ph.D degree at those institutions had also received a master's degree at an institution that was different from the institution where they had received their doctorate. The bottom line is that if you really want to increase the number of African Americans getting the Ph.D degree, you must support considerably more African Americans obtaining the master's degree. Our reauthorization proposal, which I will discuss in more detail in a moment, helps to address this situation by significantly expanding and strengthening the master's component of the Patricia Roberts Harris Graduate Fellowships program.

It is with pleasure that I support the reauthorization proposals of the higher education community; these recommendations will strengthen the capacity of the Department of Education to address the terrible situation that African Americans face in graduate education. Numerous studies, especially the rigorous ones sponsored by the Graduate Record Examination Board, note that inadequate financial support is a major constraint for minorities such as African Americans seeking greater access to graduate education. The proposed increase in the authorization level of the Harris programs from the current level of about $30 million to a total of $100 million is an important step in the right direction. A substantially expanded Harris program will allow more minorities in more fields to benefit from a graduate education, and will provide a crucial resource for the country as it struggles to bring more minorities into a range of professions, including college-level teaching.

The higher education community's reauthorization proposal suggests a restructuring of the Harris program that will strengthen it at both master's and doctoral levels. There are currently two components in the program: one for minorities in doctoral, master's and some professional programs; the other for minorities pursuing careers in public service. We propose an expansion and restructuring of this two-tiered system. In our plan, the Harris Graduate Fellowship program will be solely for doctoral students, and will cover three years of support, including a dissertation year. It also will include a two-year university matching requirement, of which supervised teaching must be a part. A total of five years of support, including intensive teaching experience, is hence achieved. Let me say a few words about the advantages of this portion of our proposal.

The Graduate Record Examination Board studies provide some relevant data. They point out that African American graduate students tend to be at a disadvantage in university doctoral departments when they are funded only through fellowships. When this is the case, they often miss the mentoring and bonding possibilities that come from holding multi-year research and teaching assistantships within university departments. Thus, in this proposal we are urging three years of federal support to leverage 4-5 years of total doctoral support for minority students. The Harris fellowship would provide students with the first two years of full time funding. This is normally long enough for students to complete most of their coursework and possibly prepare them for their comprehensives. If students needed more time, they would receive one to two years of funding as teaching or research assistants. The final year of federal funding would be reserved for students working on their dissertations. Because these changes would insure support and faculty involvement for the full tenure of graduate studies, they would have a major positive impact on African Americans and other minority students.

The second component of our proposal is to expand substantially the public service fellowship program to include a wider range of master's and professional programs. Students would be given funding for two years of master's or professional education. As in the case of its doctoral counterpart, the authorized level of this component should increase to $50 million. Once again, I want to add a few words of support for these proposals.

I mentioned above that most African Americans who receive Ph.D degrees first receive master's degrees at an institution different from where we received our doctorate. I am a personal testament to that fact. I did not start my doctoral training at MIT until 8 years after I received my master's degree from Syracuse. Please help us reverse the downward trend of Black master's degrees by supporting a strengthened Harris program with a powerful component of master's degree education. I only support the reduction of master's degree support from three to two years because it will increase by approximately one third the number of master's degree students who will be supported.

In addition to the Harris programs, I want to express my support for the minority undergraduate internship program, Grants to Institutions to Encourage Minority Participation in Graduate Education. This program, which provides support for African American and other minority undergraduates to participate in summer research internships on university campuses, does a wonderful job of interesting talented minority students in academic careers. Its primary purpose is to attract minorities into graduate programs, in order to increase the numbers of minorities who become college professors. It is enormously important for African American and other minority students to have professors who are themselves minorities. Minority professors become role models for their minority students, and help to make college a more rewarding and fulfilling experience for minority students.

The Administration has proposed to consolidate the Title IX minority internship program with the TRIO McNair fellowships. Although the programs have similar objectives, there are enough differences to warrant continuing both programs. First of all, the programs serve overlapping but differing populations of students. The TRIO programs are limited to students whose family incomes are 150% of poverty or less and/or who are first-generation college students, but they serve all students who meet those criteria, not just minority students. The Title IX program is limited to minority students but is not limited by income or first generation college attendance and therefore includes minority students in all income brackets. The purpose of this inclusiveness is to provide the program with access to the entire pool of minority undergraduates–which, unfortunately, is disproportionately small–to increase the likelihood of attracting students who will become tenured faculty members. Moreover, the Title IX program emphasizes summer research internships, while the McNair program emphasizes in-school academic counseling and educational enrichment.

The principal point is that early identification programs are sorely needed to get at the root causes of underrepresentation. The Title IX program and the McNair program address this critical problem with sufficiently different approaches that both should be continued.

I should note that the higher education proposal would add women as eligible recipients of undergraduate summer research internships. Many women are steered away from careers in science and engineering by the sex-stereotying that still occurs in our society. Getting female undergraduates into research labs can draw many of them into scientific careers.

I also want to point out that one of the most obvious and most effective ways to increase the access of minorities to graduate education is to strengthen Historically Black Colleges and Universities by helping them develop and offer many more graduate and doctoral programs than they offer at present. This could be done by greatly expanding the number of HBCU graduate schools eligible for funding under Title III or by developing a new initiative to strengthen graduate infrastructure at HBCUs.

Last but not least I must address the issue of requesting dropping the need-based criterion. On the surface because African American students come from households who are at least two thirds less wealthy than white households and receive almost 45 % less earned income, we instinctively oppose dropping need based criterion because we inherently feel it must be to the disadvantage of African American students. The reality is different. Virtually all graduate students are needy. Minority students in particular are sensitive to financial uncertainties in financing their education. The application of financial need analysis at the graduate level results in little or no change in the level of support granted to minority graduate students–virtually all of whom run up against the current $10,000 cap–but the prospect of need analysis adds a degree of uncertainty that is troublesome to many. Providing predictable, multiyear support at a specifiable level is an important tool in recruiting minority students into graduate programs.

There is so much more that I would like to discuss but I am looking forward to answering your questions.

Chairman FORD. Dr. May.

STATEMENT OF J. P. MAY, CHAIRMAN OF THE DEPARTMENT OF MATHEMATICS AT THE UNIVERSITY OF CHICAGO

Mr. MAY. Mr. Chairman, Mr. Coleman, Mr. Klug, Mr. Gunderson, Mr. Hayes, Mr. Roemer, thank you very much for this opportunity to testify.

Over the next decade, the Nation faces a critical shortage of people entering mathematics and the sciences. The shortage would already have reached catastrophic proportions had it not been for the influx of foreign students. The National Need Program is playing a very major role in attracting young Americans into these fields.

It is directed at the need for more and better graduate students, but this need should be addressed through multilevel programs which simultaneously address the broader national need for the productive training of scientists at all levels, from pre-collegiate to post-doctoral.

The National Need Program offers very significant advantages over others. Most importantly, proposals to it are judged on the overall educational merit of departmental programs and it funnels support to those departments that are doing the best educational job. Another advantage is efficiency. The block nature of the National Need Program makes it very cost effective.

From the point of view of mathematical sciences, the National Need Program is a large one with major impact. For comparison, while 1,100 new NSF graduate and minority graduate fellowships were awarded in 1991, only 36 of these were in core mathematics, 13 in applied mathematics and 6 in statistics. The National Need Program funds the same number of graduate students in statistics in the University of Chicago's Department of Statistics alone than the NSF graduate fellowship program funds in the entire nation.

Because the NSF graduate program is so small, there ware many talented undergraduates who would not find support in strong departments of mathematics without the National Need Program. Chicago attracts its share of NSF fellows and our national need fellows are the same high quality. The effect of the National Need Program on individual departments of mathematics is enormous.

It is helping to stave off disaster at Berkeley, which is threatened by California's deficit. It has given Stoney Brook a strong group of US graduate students in contrast to its earlier alliance on foreign students. It has had a strong effect at the Universities of Wisconsin and Michigan where it has led not only to the expansion of the graduate population, but also indirectly but very definitely to the creation of new junior faculty positions.

The funded departments all have greatly increased clout at their universities. More resources are going into mathematics as a result.

A brief description of the program in mathematic at the University of Chicago may illustrate the value of the National Need Trainingships. In 1989-90, the University of Chicago paid $700,000 in stipends to support 71 graduate students in mathematics and it supplied full tuition to all of these students. This is a large and unsustainable expenditure in a period of entrenchment. Without the National Need Program, we would have had to cut back. With it, we have been able to expand.

Our students typically complete their Ph.D.'s in 5 years. They have no teaching duties in their first year, serve as apprentice teachers in their second year; and teach, at most, one small class per quarter in their third, fourth and fifth years. Thus, students have both a solid mathematical background and training in practice and teaching before they serve as stand-alone lecturers. This is educationally effective, but it is also very expensive.

The National Need Program has allowed us to expand to 95 graduate students next year. The expansion allows us to give our advance National Need fellows a year of relief from teaching, allowing them more time for research. Dr. Pollitt has eloquently addressed the value of this.

Thirty of the 43 first and second year students are American, but only 26 of the 52 advanced students. The increased proportion of Americans is due to the National Need Program. Only 36 of the 95 students will serve as teachers. By itself, the University of Chicago could not possibly fund a program of this size.

There are no more than 25 students in each of our undergraduate classes, and we offer about 60 undergraduate courses per quarter. This labor-intensive mode of teaching is by far the most important reason for the unusual effectiveness of our undergraduate programs. Mathematics majors now account for a startling 5.3 percent of Chicago's undergraduates or a full 6 percent of double majors are counted. Moreover, nearly half of Chicago's undergraduate and math majors go on to graduate study in mathematics and nearly half of these are women.

In an innovative new program, our graduate and undergraduate students and some undergraduate students recruited from historically black colleges are helping to teach gifted Chicago-area 7th through 12th grade students. Over a hundred students from more than 50 schools have signed up for this year's program. Nearly half of them are African-American and half are women. Students are attracted by word of mouth by the urging of Chicago-area high school teachers. Many of Chicago's public high school teachers have themselves been taught calculus in another of our summer programs.

Most of the students attend a follow-up Saturday morning academic year program in which National Need fellows serve as the counselors and tutors.

Hardly any African-Americans are now going into mathematics and science. There are only nine African-American Ph.D.'s in mathematics in 1988–89, up from six the year before. Programs such as ours can have significant impact if they attract just a few young people into mathematical or scientific careers. There is no shortcut to meeting the National need of attracting under-represented groups into mathematics.

The National Need Program is fundamentally sound. I agree with Dr. Morris that a very minor flaw is the requirement of need analysis to determine stipend levels. That, in practice, is a pointless bit of red tape. Another point is the National Need Program, like the rest of the Title IX programs, is under-publicized. Modesty is not a virtue in a government agency doing its job well.

The most important advice I can give is to stay the course, to continue; and, if at all possible, expand this program. The need is there, and the program addresses it effectively. You may have seen some recent publicity about the lack of jobs for new Ph.D.'s in mathematics. The phenomenon is real, and it is tragic. However, it ought to be temporary since it is a result of recession-driven cutbacks and since there are a great many retirements in prospect.

The major danger is that the job lines will be cut permanently to the detriment of education. In fact, that is exactly what is now happening in many schools. Post doctoral positions are not being refilled, and retirees are not being replaced. As a result, class sizes are increasing and courses are being dropped. Good mathematical education requires manpower. The National Need Program is giving recipient departments the clout to fight for that manpower at their schools. The program is an excellent example of effective governmental action.

Mr. Chairman, I would be happy to take any questions, and thank you for this opportunity.

[The prepared statement of J.P. May follows:]

A Report on the Graduate Assistance in Areas of National Need Progam of the Department of Education

Testimony before the Subcommittee on Postsecondary Education
of the House Committee on Education and Labor
J. P. May, Chairman of the Department of Mathematics at the University of Chicago
June 13, 1991

Over the next decade, the nation faces a critical shortage of people entering mathematics and the sciences. The shortage would already have reached catastrophic proportions had it not been for the influx of foreign students. The National Need Program is playing a major role in attracting young Americans into these fields. It is directed at the need for more and better graduate students, for people who will become educators who are both creative research scientists and dedicated teachers. This need should be addressed through well integrated multilevel programs that simultaneously address the broader national need for the productive training of scientists at all levels, from precollegiate to postdoctoral.

There is no short cut to the recruitment into mathematics and science of people from all portions of the nation's population. People must be shown the attractiveness of these fields at the earliest possible stage, and research scientists should lead the way by direct hands-on work with as many young people as they can reach. The National Need Program is forcing departments to rethink their programs in positive ways, and it has had great impact on the departments that are funded. My report will focus on mathematics, but its basic thrust should be applicable to the other supported fields.

The National Need Program offers significant advantages over other programs. Most importantly, proposals to it are judged on the overall educational merit of departmental programs, and it funnels support to those departments that are doing the best educational job. These are often but not necessarily the best research departments. Funding through individual investigator's grants rewards the quality of research of the relevant scientists, and student support given on that basis may or may not reach people in the most educationally effective programs. Another advantage is efficiency. The clear target and block nature of the National Need Program make it very cost effective.

From the point of view of the mathematical sciences, the National Need Program is a
e one with major impact. For comparison, while 1100 new NSF Graduate and Minority
te Fellowships were awarded in 1991, only 36 of these were in core mathematics, 13

in applied mathematics, 6 in statistics, and 6 in operations research. The National Need Program funds the same number of graduate students in statistics in the University of Chicago's Department of Statistics alone that the NSF Graduate Fellowship Program funds in the entire nation. Because the NSF Graduate Fellowship Program is so small, there are many talented undergraduates who would not find support at strong departments of mathematics without the National Need Program. Chicago attracts its share of NSF Fellows, and our National Need Fellows are of the same high quality as our NSF Fellows.

The effect of the National Need Program on individual departments of mathematics is enormous. It is helping to stave off disaster at Berkeley, which is threatened by California's deficit. It has given Stony Brook a strong group of US graduate students in contrast to its earlier reliance on foreign students. It has had a strong effect at the Universities of Wisconsin and Michigan, where it has led not only to the expansion of the graduate population but also, indirectly, to the creation of new junior faculty positions. At Michigan, entering graduate students have traditionally had to teach, to the detriment of both the graduate and undergraduate programs. Next year, for the first time, no American first year graduate student will teach at Michigan. The funded departments all have greatly increased clout with their universities. Even when one can't point to a strict quid pro quo, there is no doubt that more resources are going into mathematics, well beyond the matching requirements of the Program. For example, at Chicago the space allocated to mathematics graduate students has been greatly increased over the last few years, and renovation of that space was completed last year at a cost to the University of more than $200,000. The renovation was completed much more rapidly than had been projected before we received funding from the National Need Program.

Perhaps a brief description of the program in mathematics at the University of Chicago can serve to illustrate the value of the National Need traineeships. In 1989-90, the University of Chicago paid nearly $700,000 in stipends to support 71 graduate students, and it supplied full tuition to all of these students. It also paid nearly $100,000 to undergraduate math majors who assisted in the teaching of lower level undergraduate courses. This is a large and unsustainable expenditure in a period of retrenchment. The University of Chicago has long been subsidizing precisely the need that the National Need Program is designed to address. Without the National Need Program, we would have had to cut back. With it, we have instead been able to expand.

Our students typically complete their PhD's in five years, and we unconditionally guarantee five years of full academic year support, assuming satisfactory performance. We also offer full summer support, which comes from individual investigator's grants of the NSF. That leaves little if any NSF funding to be used for academic year stipends. Our students, whether domestic or foreign, have no teaching duties in their first year, serve as apprentice teachers in their second year, and teach independently at most one small class per quarter in their third, fourth, and fifth years of residence. Thus students have both a solid mathematical background and training and practice in teaching before serving as stand-alone lecturers. This is educationally effective, but it is also expensive.

Our first year program is highly structured, consisting of an intensive common core of basic courses. The program is sufficiently difficult that even those students with very strong mathematical backgrounds seldom place out of it, but it is near enough to the foundations that bright students coming from relatively weak backgrounds are able to thrive. First year students are encouraged to work together and teach each other in a noncompetitive spirit of cooperation and collaboration. The atmosphere helps account for our low attrition rate.

Second year students attend courses and study mathematical topics intensively with particular faculty members. They also assist in teaching undergraduate courses taught by faculty members, sitting in on classes, holding office hours, conducting problem and review sessions, and teaching occasional classes under supervision.

Advanced students work continuously on their research, without summer breaks, until their thesis is complete. The National Need Program has allowed us to expand to an expected 95 graduate students next year, and the expansion allows us to give our advanced National Need Fellows a year of relief from teaching, allowing them more time for research.

We expect to have 43 first and second year graduate students next year, 30 of them American. We expect to have 52 advanced students, 26 of them American. The increasing proportion of Americans is due to the National Need Program. Only 36 of our 95 students will be stand-alone teachers. By itself, the University of Chicago could not possibly fund a program of this size.

There are no more than 25 students in each undergraduate class, and we offer about 60 undergraduate courses each quarter, a little over half of them taught by graduate students. This labor-intensive mode of teaching correlates with our relatively large graduate student population, and it is by far the most important reason for the unusual effectiveness of our undergraduate program. Despite the national trend towards declining enrollment, from which other top departments have not been exempt, mathematics majors now account for a startling 5.3% of Chicago's undergraduates; double majors in mathematics and some other subject bring this up to a full 6%. Moreover, nearly half of Chicago's undergraduate math majors go on to graduate school in mathematics. Of last years' 817 graduating seniors, 43 were math majors and 6 were double majors; 19 of the mathematics majors went on to graduate study; strikingly, 9 of the 19 were women. A key aspect of Chicago's undergraduate program is its intensive use of math majors as tutors in introductory courses and as homework graders. This use of undergraduates to teach undergraduates greatly enhances the teaching provided to non-math majors, and it helps to recruit math majors into the teaching profession.

A closely related part of our role as a teacher of teachers is to provide a stimulating research environment and a rewarding teaching experience for our many postdocs and nontenured faculty. There are around 25 such people each year, the same as the number of tenured faculty. Their postdoctoral work is a fundamental part of their training as research mathematicians. They teach many of our mid-level undergraduate courses, and they play an important role in the informal teaching of graduate students. Our research level courses are attended by a mixture of senior faculty, junior faculty, and advanced graduate students.

Our junior faculty help train our graduate and undergraduate students, our graduate students help train our undergraduates, our advanced undergraduates help train our starting undergraduates, and, in an innovative new program, both graduate and undergraduate students help train gifted Chicago area seventh through twelth grade students. Last summer, 71 students, nearly half of them black and half female, were enrolled in the program. Most of the students attended a follow up Saturday morning academic year program. Over 100 students from more than 50 different schools, ranging from public schools in impoverished areas to the poshest of Chicago's private schools, have signed up for this summer's program, and we are reluctantly having to turn others away. Interestingly, although this is primarily an inner city program, suburban students are also clamoring for admission.

Students are attracted to these programs by word of mouth and by the urging of Chicago area high school teachers. Many of Chicago's public high school teachers have themselves been taught calculus by a faculty member in another of our Department's summer programs. Six Chicago faculty members taught in the 1990 summer programs, several others gave special lectures, and still others will participate this summer.

Problem sessions and discussion groups are led by undergraduate and graduate students from the University of Chicago and other schools; the undergraduates take summer enrichment courses at their own level. We have recruited undergraduate counsellors from historically black colleges, in part through the University of Chicago's large Summer Research Opportunities Program. Several of the high school participants have entered the University of Chicago as undergraduates. National Need Fellows serve as the counsellors and tutors during the academic year Saturday sessions.

Hardly any black Americans are now going into mathematics and science. There were only 9 black PhD's in mathematics last year, up from 6 the year before. Programs such as ours can have significant impact if they attract just a few young people into mathematical or scientific careers. There is no shortcut to meeting the national need of attracting under-represented groups into mathematics. In the long run, the kind of program that I have just described is likely to be one of the most realistic ways of meeting this need.

The National Need Program is fundamentally sound. A very minor flaw is that the requirement of need analysis to determine stipend levels is in practice a pointless bit of red tape. Another point is that the National Need Program, like the rest of the Title IX programs, is underpublicized. Modesty is not a virtue in a government agency doing its job well.

The most important advice I can give is to stay the course, to continue and if possible expand the program. The need is there, and the program addresses it effectively. You may have seen some recent publicity about the lack of jobs for new PhD's in mathematics. The phenomenon is real, and tragic. However, it ought to be temporary since it is a result of recession-driven cutbacks and since there are a great many retirements in prospect. The major danger is that job lines will be cut permanently, to the detriment of education. In fact, that is exactly what is now happening at many schools: postdoctural positions are not being refilled and retirees are not being replaced. As a result, class sizes are increasing and courses are being dropped. Good mathematical education requires manpower. The National Need Program is giving recipient departments the clout to fight for that manpower at their schools. The Program is an excellent example of effective governmental action.

Chairman **Ford**. Ms. Laura Shanner.

STATEMENT OF LAURA SHANNER, GRADUATE STUDENT AND JAVITS FELLOW, GEORGETOWN UNIVERSITY

Ms. **Shanner**. Mr. Ford, Mr. Gunderson, Mr. Coleman, Mr. Hayes, Mr. Roemer, Mrs. Lowey, and Mr. Reed, thank you very much for your time.

On behalf of my peers and fellow graduate students, I am delighted to have this rare opportunity to speak with the people in a position to actually set the policy that affects us so greatly.

I am a recipient of the Javits Fellowship. I am currently in my fifth year of graduate work at Georgetown University, where I am writing my dissertation in philosophy and ethics in medicine, which is a new—rather new multidisciplinary field. First of all, I would like to say that I owe you an incredible and sincere amount of thanks for making the Javits Fellowship possible. Without it, I would not have attained the degree of professional competence that I have at this point. I would not have been able to do what I do best, and I certainly wouldn't have been able to do what I enjoy the most.

Georgetown University has one of the few and by far, the best program in bioethics available. But at the time that I applied, I was already over $17,000 in debt from my undergraduate education, and I very nearly accepted a better financial offer to another institution. The Javits made it possible for me to go to the best place for my work.

A substantial multiyear grant is essential to encourage people to study in the humanities. As a number of members of this panel have already remarked, to do this kind of work takes years of sacrificing regular income. We may accumulate tens of thousands of dollars in debt, and the income prospects for humanities majors just aren't very good compared to income aspect or prospects for scientists and people in the social sciences. You have to be either incredibly passionate or somewhat masochistic to take this one, and I don't think that is what we want to encourage.

It is also very important that the grant remains portable. Graduate studies are highly focused and specialized, which means that some programs may off the best institutional resources for a particular student's program even if the department or program overall is not one of the best-ranked in the Nation. This is clearly the case for me at Georgetown, whose bioethics program is unparalleled, but whose general philosophy program is well-regarded but not yet stellar in national reputation.

If a grant had been made available to philosophy departments directly or to universities, I probably would have been left out.

Finally, the Javits fellowship currently emphasizes academic merit and student potential. I think this is one of its great strengths. Academic excellence and the diversity of the projects which students engage in have to be protected from any limitations or interference for expediency on political reasons. As a bioethicist, I recognize that the humanities are essential to the well-being of individuals and to our society, although these benefits are often not immediately clear.

The natural sciences tend to receive the greatest amount of support because scientists develop technology and make interesting little widgets that can be sold on the market. Economists and social sciences often receive secondary importance because they set identifiable policies. Those of us in the humanities are often treated as expendable luxuries. That is a mistake. People like me study what it means to be a human being in the world; literally the humanities. Without that as a basic understanding, any work in the natural or social sciences becomes a waste of time, and sometimes, becomes dangerous.

My work in bioethics focuses on the dangers and misuses of technology. We have to ask some basic questions. What is the purpose of the technology we are developing? Is progress simply anything that is different from what we have done before or is there something that we are working toward? In socioeconomic policy, what is that are the needs and desires of people that need to be met, and how do we go about doing that? Without asking those questions, other fields' work becomes misguided.

In bioethics, again, I focus primarily on biotechnological applications, and the abuses and problems are rampant. We need to worry about problems like people whose rights and needs are overlooked because researcher are too excited about the next discovery to worry about the practical effects of their work.

Sometimes, medical practitioners are so enamored of technology to keep a person alive, that they lose sight of why it is important for that person to be there. Sometimes, a patient is ready to let go, and yet, the technology is not. It takes someone in the humanities to step back and ask why we are doing this, and how it can be better.

Beyond society's need for a few gadflies to challenge our assumptions, there is a basic need for every member of our society, especially people in a democracy to be able to respond to some basic fundamental questions about what it means to be human and what is the point of living? More importantly, to have the skills that the humanities teaches, of expressing our experiences, of thinking clearly and of making good decisions within the context of a broad, historical perspective.

We need to be able to do this to be good voters, to select people who will represent us in a reasonable and helpful way. We do need some experts to act as teachers, to encourage others to develop these skills, and we need some people who are talented enough to focus on difficult problems that others may not have the inclination or the time to try to puzzle out. The best and the brightest minds in this country should be recruited to fill these roles, because I believe that they are vital. Without it, we may get ourselves into serious trouble.

Currently, the Javits Fellowship is the only national level program, which encourages students to work at high-level humanities studies. For this reason, particularly, we simply cannot afford to abandon it.

As a beneficiary of the Javits Fellowship, I feel a little bit ungrateful in suggesting that there may be some room for improvement in the program, but as a student, I have sometimes been rather painfully aware of some of the limitations. So I would like to offer my observations in an effort to make the program even stronger. The main limitations of the Javits Fellowship come from basing the award on the student's estimated financial need combined with restricting opportunities for work and outside income.

The structure is intended to allow the student to focus without distraction on work while saving the government money, which is a good goal. Unfortunately, it often traps the adult student in an inadequate income bracket, with no opportunities to better the situation. This is ultimately frustrating and then counter-productive to the goal that you are trying to reach.

As Dr. Morris noted, the need analysis does not determine who wins the Javits Fellowship, but merely restricts the amount of support available to the student. The financial aid calculation is generally spartan. There is no room included in it for journal subscriptions, professional memberships, conference attendance, summer education, internships or even travel that is part of one's research. As a result, I have spent $850 for tuition for a summer French language program which was necessary for my degree.

I have lost possible summer income because of internships as part of my degree program, and for field research. The student's option under this situation seem to be either to do incomplete and inadequate, which isn't the point of the funding or to take on more debt, which sometimes digs us into a serious financial hole.

A further squeeze is applied by the 1986 tax code revisions. The Javits disbursement is based on the estimated need, which eliminates us from further consideration for financial assistance. After taxes, however, my net take-home pay was roughly 19 percent below the estimated need, and that was already on a Spartan calculation. Because the Javits prohibited outside work, I couldn't even make enough money to meet my estimated expenses, let alone the luxuries.

One of the results of this is that I have been unable to receive therapy for chronic back pain, and I have gone 8 months without a dentist appointment for a cracked filling. Frankly, it is disturbing one's work to have to try to concentrate on a project when your tooth hurts or your back aches. It seems to me a limitation like this is ultimately counter-productive to the work that you are trying to allow me to do.

Finally, the restriction on outside income prevents a student from taking teaching opportunities which may be essential to getting an academic appointment, the main source of employment for humanities majors. I have taught without compensation for my work. I think, frankly, this is unfair. But it seemed to me better to work without pay than never to have worked at all, so I took the job.

So for financial reasons, professional reasons and the goal of streamlining the program and making it more efficient, I strongly suggest that you eliminate the need-based analysis and lift the restriction on outside work activities, especially for jobs that are directly related to the student's professional and academic development.

Overall, my experience with the Javits fellowship has been a resounding success. I thank you again for your confidence in me, for your support of my work and for the opportunities that you have made available for me. I intend to repay your investment in me. I see my role as teaching others to continue the work of the humanities, to apply my thinking to some difficult problems in bioethics, and occasionally to act as a gadfly to challenge the assumptions in our health and social policies.

I need other people like me to help me take on these jobs. Your continued support of the next generation of humanity scholars is vitally needed and is sincerely appreciated. Again, I thank you for your time, and would be happy to answer any questions you may have.

[The prepared statement of Laura Shanner follows:]

TESTIMONY

TO THE POSTSECONDARY EDUCATION SUBCOMMITTEE OF THE COMMITTEE ON EDUCATION AND LABOR OF THE UNITED STATES HOUSE OF REPRESENTATIVES

Presented on Behalf of:

Association of American Universities
National Humanities Alliance

Laura Shanner
Graduate Student and Javits Fellow
Georgetown University

13 June 1991

Mr. Chairman and Members of the Subcommittee,

Thank you very much for your time. My name is Laura Shanner, and I am speaking to you today as a recipient of the Javits Fellowship and current graduate student in the humanities. It is a pleasure to testify before you today and to represent the Association of American Universities (AAU), an organization of 58 research universities with preeminent programs of research and graduate and professional education, and the National Humanities Alliance (NHA) and its membership of seventy scholarly and professional associations, organizations of museums, libraries, historical societies, higher education, and state humanities councils, and others concerned with national humanities policies. (AAU and NHA membership lists are attached).

The Javits Fellowship has funded four of my five years of work at Georgetown University, where I am currently writing my doctoral dissertation in philosophy and medical ethics. My fifth year of work (calendar year 1990) was funded by a grant from the ITT Corporation, awarded through the Fulbright Scholarship competition, which allowed me to conduct my dissertation research on ethics and new reproductive technologies in Melbourne, Australia.

My testimony today will focus on three points: the strengths of the Javits Fellowship program; the importance of continued and increased support for graduate studies in the humanities; and some limitations of the current Javits program from the point of view of a recipient, with some suggestion for improving the program.

The strengths of the Javits Fellowship

First of all, I owe an enormous and sincere thank you to the Congress and the Department of Education for funding and administering the Javits Fellowship. Without your support, I simply would not have been able to pursue my studies at Georgetown, and would almost certainly not have completed the amount of academic and practical work which has been integral to my program.

When I began my undergraduate studies at Knox College in Illinois, I intended to major in biology and pursue a career in medicine. Because Knox emphasizes a broad education in the liberal arts, I was immersed in the humanities in addition to the laboratory sciences. Although I enjoy the sciences and have published work done on an electron microscope, I discovered that the ethical problems in research and medical care are vitally important, enormously fascinating, and largely unresolved. These issues are better addressed, and my talents are better used, in the humanities than in the sciences.

To my knowledge, Georgetown has by far the best program in bioethics in the world. In addition to many staff members in the Philosophy Department, the Kennedy Institute of Ethics, and the Center for the Advanced Study of Ethics who focus on issues in applied ethics, Georgetown is the home of the National Reference Center for Bioethics Literature, and the source of the international database, Bioethicsline. Washington also offers unique opportunities to observe top-level research at the National Institutes of Health and health policy in Congress. Although a number of universities offer fledgling programs in medical humanities, there simply is no other program of Georgetown's caliber.

Were it not for the Javits Fellowship, I would have had to forego studying at Georgetown University for financial reasons. The teaching fellowship offered by Georgetown was roughly half of the scholarship offered by my second-choice institution, Boston University. Financial responsibility was important, as I already owed $11,000 in Guaranteed Student Loans and approximately $6,000 to my parents for my undergraduate education. (Since my parents are retired and not wealthy, I am expected to repay my loans to them in the near future). These debts were incurred even with the one-year support of a National Merit Scholarship. I was therefore about to accept Boston's offer when I received notification that I had won the Javits Fellowship, and would be able to attend the school of my choice instead.

A multi-year grant is essential for all but the wealthiest students to consider graduate work as a reasonable option. It is a daunting proposal to forego regular income and work experience in the attempt to earn a graduate degree, and even more frightening to accumulate tens of thousands of dollars in loans. One must delay gratification in the present, and must often mortgage one's future, in order to conduct graduate study. A multi-year award makes it possible to commit oneself to the program and expect to complete it within a reasonable number of years. Four years of full-time study would be the minimum for a Ph.D. program, and five is often considered the norm.

In my case, as for many other students, is was essential that the grant was portable. Graduate students, or at least the best and the brightest of them, are quite unlike undergraduate students. Undergraduates often do not know what they want to be when they grow up, but attend college as the usual next step after high school. To forego a steady income and to assume the burden of years of further study, however, requires careful thinking and commitment upon the part of the graduate student. Undergraduate work in a field gives the successful graduate a good sense of the direction he or she intends to pursue; one does graduate work in a particular period of history, a specific type of philosophy, or a certain school of art, rather than generalized work in a field as was done during the undergraduate major.

The specificity of graduate interests means that certain universities will offer the ideal program for that student, even when their program overall may not be the best in the country. This was clearly the case for me: Georgetown has a good, but not yet stellar, reputation in general philosophy, but it is unparalleled in bioethics. Grants awarded to philosophy departments or to universities would likely have gone to more highly ranked programs, and I would not have been able to conduct my studies in the best available setting. If the goal is to support the work of the best qualified students, it is imperative that the program allow them to work in the department which best meets their needs and interests.

The Javits program currently supports a number of projects, some of them potentially controversial, in a broad range of disciplines. This is exactly as it should be. I am concerned, however, by the implications of the recent Supreme Court ruling in Rust v. Sullivan, which restricts discussion of abortion in family planning clinics which receive federal Title X funds, and the recent debates regarding the content of projects funded by the National Endowment for the Arts. Although Rust v. Sullivan made a specific exception of governmental control of speech in federally supported universities, the breadth of this exception is not clear. Could Javits Fellows be restricted from pursuing such studies as Marxist theory, a philosophical defense of abortion, or other legitimate lines of inquiry which may run counter to the Administration's position? It should be made very clear in the reauthorizing legislation that Javits Fellowships are awarded on the basis of the student's talent and the academic merit of the proposed project, and not on political grounds. Criteria for appointing the selection committee members, and criteria for evaluating candidate's research proposals, should clearly protect academic integrity rather than political agendas.

The benefits, both direct and indirect, of the Javits Fellowship have been enormous. It has enabled me to focus my full attention on my studies and to complete my course work and qualifying exams faster than most students working on a teaching fellowship. It has also allowed me to spend many hours in clinical internships, which have been integral to my studies in bioethics. Finally, winning a prestigious national award creates a snowball effect for future good fortune; I am convinced that having received the Javits made me a stronger candidate in the national competition for the Fulbright/ITT Scholarship, and it is a significant asset on my curriculum vitae as I begin my job search. With the loss of the Mellon Fellowship, the Javits remains the last and only national competition in the Humanities, and its influence on its recipients' careers should increase significantly.

The Importance of the Humanities

As a bioethicist, I recognize that continued and increased attention to the humanities is fundamental to the well-being of individuals, to our nation, and to human beings generally. This benefit is often not immediately obvious; it seems that philosophers, historians, writers and artists have little to offer to a market economy. With the exception of the entertainment value of literature or the decorative arts, we make no widgets to sell, we command little power, and we broker very little money. Our society is technologically oriented, and has little concern for those perceived to dwell in an ivory tower. Thus the natural sciences receive the greatest prestige and support, the economic and political sciences are ranked second in importance, and the humanities are often seen as expendable luxuries or even a waste of time.

The work of the humanities, however, is vital. People like me study what it means to be a human being in the world – literally, the HUMAN-ities. Literature and the arts give expression to the complex experience of being human: our hopes and fears, our joys and grief, our vision of the good life and the agony of torture or abandonment. We are unable to communicate without languages, and are unable to think coherently without the discipline of philosophy. History is necessary to help us escape a confusing existence in an eternal "now"; we have no past without an understanding of history, and thus little sense of the future. We become disconnected, frustrated people without a sense of our human nature and historical context. The natural and political sciences simply do not, and perhaps cannot, capture the meaning of being human.

The humanities provide the starting point for any human pursuit, including politics and science. What is the purpose of the technology we develop? Is "progress" simply anything that is different from what we have known in the past, or is there some goal which we are striving to attain? What is it that human beings need and want? How would these needs and desires best be met in the structure of a state or government? Work in the natural and political sciences is a waste of time without some prior understanding of what it means to be human, and what goals are to be achieved by one's work.

It would be bad enough if scientists and social leaders were simply ineffective when they lack the insights of the humanities. What happens more often is that, because of a narrow focus on a problem without a broader consideration of the problem's context, people get hurt by the actions taken. Interestingly enough, the humanities are necessary even to recognize a disaster for what it is, and to warn when one is imminent. History reveals patterns of human behavior and the mistakes we often make; as the plaque at Auschwitz warns, those who do not know history are doomed to repeat it. Philosophers can challenge the assumptions behind a program or project, and attempt to reason through the implications of possible results. Artists give eloquent expression to the suffering of those who are, or who might be, affected by a decision. No action exists in a vacuum; everything we do affects human beings in some way, and we are dangerously mistaken if we ignore the human element of any pursuit. Without the humanities to guide us, we may very well forget what it means to be human. Human living may then cease to be worthwhile, or worse, may cease to be possible.

Our technological society is fascinated by the magic of science, inebriated at times by our feeling of mastery over our environment, and all too often short-sighted in our evaluation of benefits and harms. Bioethics focuses on injury caused to people by overzealous applications of technology – the trampling of human rights in Nazi experimentation, the nightmare of a patient ready to die but kept alive on ventilators, and the absurdity of using expensive and invasive technology to remedy injuries which could have been prevented by simpler and cheaper means. Our nation must wrestle with long-range problems, including our responsibility to maintain a humane and healthy society for future generations, our accountability to people of other nations as we use more than our fair share of limited resources, and the threat to our own survival through environmental damage. I believe it is impossible to work in pure or applied science without raising serious ethical concerns, and yet the sciences do not teach the skills needed to resolve these dilemmas.

Similar problems arise in politics and social sciences, which are often perceived to be of intermediate importance between the sciences and the humanities. No one can deny the value of understanding social and economic structures, or the importance of organizing a society so that it functions smoothly. These activities are impossible, however, without prior philosophical grounding in the nature of freedom and justice, the legitimacy of power, and the human needs and desires to be met through the social order. Governments cannot reach their goals unless the leaders first have a clear sense of the goals to be achieved. It is also unfortunately common for political leaders to wreak havoc for the people who live under them. How can people who successfully achieve and maintain power be persuaded that some expedient actions are unacceptable? It would seem that the humanities offer the only way to express the suffering of the oppressed, the reasoning to identify unjustified authority, and the history to verify the dangers of careless leadership or unchecked tyranny. The humanities allow people to step away from the pursuit of knowledge or power to ask why we are pursuing it, and what we hope to gain from it.

The need for exposure to the humanities and the skills they develop extends beyond the need for a few experts to act as gadflies in society. Every person asks basic questions about the meaning of life, whether we are alone in the world, and what can give us hope and strength when living is hard. The arts express these thoughts, philosophy and theology search for answers, and history provides the comfort of perspective. Furthermore, every person, and especially every citizen in a democracy, needs the skills of careful reasoning and of viewing actions in a broad context in order to make good daily decisions and to vote for good leaders. We are all at risk for injury through environmental devastation, medical mismanagement, war, and social collapse. The ability to think clearly about needs, goals, and the adequacy of proposed policies is hardly a luxury; it is a necessity for every person.

We do need some experts to act as resources, to focus on difficult issues that most people would not have the time or inclination to pursue, and to serve as teachers for the rest of our society. The best and the brightest minds should be recruited to fill these roles, as they are essential to the well-being of our society and ourselves. The Javits Fellowship is one of the very few programs which encourages clear-thinking people to apply their talents toward the study of the humanities for the betterment of society. For this reason, the Javits program should most certainly be continued. Because of the important role the humanities play in our lives, I believe the Congress ought to take a stronger position in supporting the study of the humanities, both financially and symbolically. Expanding the Javits Fellowship program, and providing greater publicity and visibility for the program, would be a good start.

Limitations of the Javits Fellowship

As a beneficiary of the Javits program, I feel somewhat ungrateful in suggesting that there are limitations to the program and room for improvement. As a student, however, I am sometimes painfully aware of the difficulties and sacrifices which interfere with my studies, and am often frustrated by my inability to change the situation. I am committed to the belief that the Javits Fellowship serves an invaluable role in promoting graduate work in the humanities, and that it enables some of the most able students to develop their talents for the benefit of society. I therefore offer my observations, experiences and suggestions in the hope that future generations of students will profit even more than I have from the generosity of the program.

My primary frustration with the Javits program has resulted from the combination of limiting the amount of the award to a calculation of the student's financial need, and the restriction on outside work or income opportunities. On the face of it, such a program would seem to meet the goals of allowing talented students to work on their graduate degrees without distraction, while avoiding spending public funds unnecessarily. Unfortunately, this structure also traps the student in an inadequate income bracket, with no options for meeting legitimate needs. As adults who have foregone full-time employment in order to pursue graduate work, we find such an arrangement frustrating and often counter-productive.

First of all, the calculations from the financial aid offices are generally spartan. The estimate of need for a single person allows living in a dormitory or shared accommodation, one or two round-trip visits out of state, and food, utilities, and book expenses within a rather strict budget. In my case, the Javits awards based on financial aid estimates of need were as follows:

1986-87	$ 7,240
1987-88	7,878
1988-89	9,500
Fall 1989/Spring 1991	10,000

For comparison, Georgetown University's estimated expenses for the 1991-1992 school year:

Room and Board	$7,000
Books and supplies	625
Personal expenses	2,400
Travel - local and interstate	975
TOTAL	11,000

There is no recognition in the Financial Aid calculations of the reasonable needs of people in their 20's and 30's to acquire assets for their own and their children's futures (IRA's, college savings funds, down-payments for property, etc.), or even to acknowledge that living like a college student becomes increasingly unpleasant with age and accumulated years of such experience. It is frightening to realize that I am 27 years old with a debt of $22,000 (and mounting), with no savings and few assets, and with little chance of earning a high salary as a humanities professor. It is also frustrating to realize that I could have completed law or medical school by now and be looking forward to a relatively high income for the rest of my career, that I could have earned a full-time salary and benefits for the past five years, or that I would even have earned more money working at McDonald's or receiving unemployment compensation. If the goal of a program such as the Javits is to encourage qualified people to pursue study in the humanities, it must make this career choice an attractive option, and it should ensure that such a decision does not jeopardize the scholar's long-term financial health.

Although likely an unforseen and unintended result, the tax code revisions of 1986 have been devastating to students, and I think quite unfair to them. I recognize that revising the tax code is beyond the scope of this committee's jurisdiction, but you may ameliorate the effects of the tax bite for students on the Javits program. (I encourage you also to raise the issue of student taxation in other appropriate committees in Congress). Before 1986, scholarships and fellowships were not considered taxable income; my first year of Javits support in 1986 was tax-free under the grandfather clause. The remaining years have been taxed, however, which in the District of Columbia results in a net loss of approximately 19% of each paycheck. The estimates of need from the financial aid office, however, do not take into account that scholarship or fellowship funds will be taxed. The result for the student is that the actual support received will fall far below the estimated basic needs calculated by the university, and the Javits program prohibits outside income to make up the shortfall.

An example of the taxation's effect in my experience is as follows: In 1988-89, Georgetown University estimated my financial need as $9,500 for the school year, to be paid at the rate of $1,055/month. The Javits Fellowship disbursed a check in the amount of $9,500 to meet this calculated need, and because the need estimate had been met, I did not qualify for Guaranteed Student Loans or other funding assistance. After taxes, however, my take-home pay was $855.65 – significantly below the estimated cost of living. I was prohibited from working to earn the remaining $200/month needed to meet regular expenses, and clearly had no room to budget for luxuries or emergencies.

To make matters even worse, the expenses of being a full-time student are to my knowledge not tax-deductible as business expenses. A professor is able to deduct journal subscriptions, travel to conferences, books, computer supplies, moving expenses to accept a job in another city, and even some utilities if the home is used as an office. As a student, however, one may not deduct travel between one's family home and the university, supplies such as books, journals and computers, or the costs of an in-home office (which, since universities generally do not supply offices to graduate students, is the only place we can work). If a Fellowship is perceived as income for the work of being a student, and is taxed as earned income, then it is unfair not to allow deductions for the expenses such a job entails.

The financial limitations of the award have resulted in my being unable to receive regular chiropractic care for chronic back pain, and I have had to work with a toothache for 8 months because my budget did not allow a dental appointment. Other medical necessities which are not covered by my student health insurance, such as prescription drugs and co-payments, mean that medical care must be foregone or paid with borrowed money. I find it hard to believe that relief for pinched nerves, damaged fillings and ear infections should be considered a luxury, and yet it is. It is quite difficult to concentrate on one's research while distracted by pain, making the limitations of support ultimately counter-productive. There should be room in one's budget to remedy unexpected problems which interfere with the work being supported.

There are further aspects of graduate study which are essential to the student's professional development, but which are luxuries far beyond the scope of the current award structure. Talented students and professionals-in-training are expected to participate in the professional discourse of their field. This participation requires membership in professional organizations (in my case, the American Philosophical Association and the Society for Health and Human Values); subscriptions to scholarly journals; and attendance at professional conferences. There simply is no room in the budget for membership fees, journals, or travel and registration fees for conferences to present papers or to hear the most recent work in one's field. Even when a $300 conference registration fee is discounted to a $50 student rate, the budget rarely allows the extra $50 to be spent.

Further, the Javits program does not offer extra funding for summer work, which I have undertaken at my own expense ($850 tuition for a summer French language class, required to pass the language requirement of my program), and at loss of summer employment income (due to clinical internships in New York and Norfolk, Virginia during the summer of 1988). The only mechanism to pay for such opportunities is to borrow money; my debt to my parents has soared to $11,000 because of uncompensated graduate school expenses. Finally, much high-level research requires travel to libraries and archives for materials unavailable at one's institution, or to interview people with information integral to one's thesis. The expenses of travel and lodging again stress the limited budget beyond the breaking point. The only options seem to be to do incomplete work because of financial limitations, or to incur significant debt in the attempt to do the best work possible.

It seems truly counter-productive to limit the options of the best qualified students to save perhaps a few thousand dollars per year. I wonder, in fact, whether enough money is saved by calculating financial need for each student to pay for the bureaucratic costs of conducting such an evaluation. If the savings are not significant, then it is a waste of taxpayer's money to pay for bureaucratic analysis rather than to fund the students who are the intended recipients of the support. It might be reasonable to consider a one-time financial analysis during the first year of the student's support, in order to prevent providing federal funding to independently wealthy students. The vast majority of us, however, are struggling just to make our monthly payments, have accumulated debt from our undergraduate work, and have very few assets to use in the pursuit of our academic degrees. You will fail to meet your goal of enticing talented people into the field if you do not provide adequate support during the long years of study. All but the most passionate, or perhaps most masochistic, of potential humanities students will choose more reasonable and financially rewarding careers.

Finally, the restriction on outside income prevents the student from accepting teaching positions, which are important for career development. The main employment option for humanities scholars is teaching, with academic research. Competition for these positions is intense, and evidence of teaching ability is often a requirement to win an interview. If a Javits Fellow is unable to accept part-time teaching positions during the graduate program, the student may well complete the academic portions of the degree quickly, but may not be qualified to teach a course at the university level. It is unfair to the students to allow them to gain teaching experience only if they are not compensated for their work (as I have done at Georgetown University Medical School), and it is counter-productive to the student's career not to allow them to teach at all. For both financial and professional reasons, I strongly suggest that the restriction on outside income be lifted, or at least be lifted for work related to the studies and professional preparation of the Fellow.

There are a few other administrative complications of the Javits program which have caused some measure of frustration for me, which would not be difficult to improve. Some of these include the following:

First, the program needs greater publicity and visibility in both the undergraduate and graduate settings. I received the application only because the Dean at Knox College happened to see me and pass along the application packet just before our winter break. No one on the campus had heard of the program or recognized the level of competition it entailed, and in my experience it still has little name recognition compared to the Mellon Fellowship, Fulbright Scholarship, National Science Foundation Fellowship, etc. As the sole remaining Fellowship for graduate studies in the humanities, it deserves to be recognized by the general public as the premier opportunity that it is.

Notification of awards must also be made earlier in the year. As I described above, I very nearly signed a commitment letter to attend Boston University before receiving notification about the Javits Fellowship, which was dated May 6, 1986. A student is under a deadline to accept and reject various offers from graduate schools, and must have as much information available as early as possible in order to make a reasonable decision. (The usual acceptance deadline is April 15, but I received an extension from Georgetown and Boston due to Boston's offer of a special scholarship). It would have been a heartbreaking, career-altering mistake if I had in fact committed myself to attending the wrong school before I received my notification.

It would also be helpful if the stipend were given directly to the student in a lump sum, rather than allowing the university the option of funnelling it through the payroll system. In my case, Georgetown's financial bureaucracy caused enormous frustration and numerous financial crises. My fellowship was misdirected each of the five times they had to process it; delays of the first month's stipend ranged from two weeks to two months. As expenses are greatest at the beginning of a semester, a delay in processing is particularly damaging at that time. My studies were disrupted by the time and frustration expended in tracking down the lost paperwork, and I was forced to borrow money and become delinquent on rent and utility payments. Since the problems were within Georgetown's business office, the Department of Education had no authority or assistance to offer, except for sympathy. Javits Fellowship recipients are adults who have made significant sacrifices and commitments to further their education, and it does not seem unreasonable to trust that they would be capable of budgeting themselves. Further, any interest earned from placing the funds in a savings account for part of the year would be needed by the student far more than by the university.

Avoiding the payroll maze does not mean that the Department of Education would lose assurance that the student is progressing in his or her program. The legislation may simply make it standard procedure for the university to accept the funds and verify the student's good standing, and then pass along the total stipend to the student without further delay. If this proposal is unacceptable, then the law should at least include a provision which is binding upon the university to process the fellowship in an accurate and timely manner. Currently, there is no incentive for the university to process the funds, and the only person who is held accountable in the system is the student unable to make payments. The student is the intended beneficiary of the Javits program, and so should be protected from bureaucratic mistakes as much as possible.

Overall, my experience because of the Javits Fellowship has been a tremendous success. Again, I thank you for your confidence in my abilities, for your support of my work, and for the opportunities you have provided me during the past five years. I really would not be where I am now without this program. I believe my skills are needed in this society, and I intend to repay your investment in me by working through some difficult problems in bioethics, by stimulating public discussion on values and technology, and by teaching others to carry on the work of the humanities. Your continued support and encouragement of the next generation of scholars is vitally important, and is deeply appreciated.

Thank you for your time, and I wish you the best in your deliberations.

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Association of American Universities

Member Institutions, 1991

- Brandeis University
- Brown University
- California Institute of Technology
- Carnegie Mellon University
- Case Western Reserve University
- The Catholic University of America
- Clark University
- Columbia University
- Cornell University
- Duke University
- Harvard University
- Indiana University
- Iowa State University
- The Johns Hopkins University
- Massachusetts Institute of Technology
- McGill University
- Michigan State University
- New York University
- Northwestern University
- The Ohio State University
- Pennsylvania State University
- Princeton University
- Purdue University
- Rice University
- Rutgers, The State University of New Jersey
- Stanford University
- The State University of New York at Buffalo
- Syracuse University
- Tulane University
- University of Arizona
- University of California, Berkeley
- University of California, Los Angeles
- University of California, San Diego
- University of Chicago
- University of Colorado
- University of Florida
- University of Illinois
- University of Iowa
- University of Kansas
- University of Maryland
- University of Michigan
- University of Minnesota
- University of Missouri
- University of Nebraska
- University of North Carolina
- University of Oregon
- University of Pennsylvania
- University of Pittsburgh
- University of Rochester
- University of Southern California
- University of Texas
- University of Toronto
- University of Virginia
- University of Washington
- The University of Wisconsin
- Vanderbilt University
- Washington University in St. Louis
- Yale University

The NHA National Humanities Alliance

ACTIVE MEMBERS OF THE NATIONAL HUMANITIES ALLIANCE

- American Academy of Religion
- American Anthropological Association
- American Association of Museums
- American Association for State and Local History
- American Council of Learned Societies
- American Folklore Society
- American Musicological Society
- American Philological Association
- American Philosophical Association
- American Political Science Association
- American Society for Eighteenth-Century Studies
- American Sociological Association
- American Studies Association
- Association for Asian Studies
- Association for Jewish Studies
- Association of American Colleges
- Association of American Geographers
- Association of Research Libraries
- College Art Association
- Shelby Cullom Davis Center for Historical Studies
  - Princeton University
- Davis Humanities Institute
  - University of California, Davis
- Federation of State Humanities Councils
- The George Washington University
- History of Science Society
- Independent Research Libraries Association
- Linguistic Society of America
- Medieval Academy of America
- Modern Language Association
- National Council of Teachers of English
- National Humanities Center
- Renaissance Society of America
- Social Science Research Council
- Society for Ethnomusicology
- Society for Biblical Literature
- South Atlantic Modern Language Association
- Speech Communication Association

ASSOCIATE MEMBERS OF THE NATIONAL HUMANITIES ALLIANCE

- American Antiquarian Society
- American Conference of Academic Deans
- American Dialect Society
- American Library Association
- American Numismatic Society
- American Society for Aesthetics
- American Society for Legal History
- American Society for Theatre Research
- Association of American Law Schools
- Association of American University Presses
- Center for the Humanities
  - Wesleyan University, Connecticut
- College English Association
- Commonwealth Center for Literary and Cultural Change
  - University of Virginia
- Community College Humanities Association
- The Council of the Humanities, Princeton University
- The Hastings Center
- Institute for Humanities, University of Michigan
- Institute for the Medical Humanities
  - University of Texas Medical Branch, Galveston
- Institute of Early American History and Culture
  - College of William and Mary
- International Research & Exchanges Board
- Middle East Studies Association of North America
- Midwest Modern Language Association
- Northeast Document Conservation Center
- Organization of American Historians
- Philological Association of the Pacific Coast
- Popular Culture Association
- Shakespeare Association of America
- Society for the History of Technology
- Society of Architectural Historians
- Society of Christian Ethics
- South Central Modern Language Association
- Doreen B. Townsend Center for the Humanities
  - University of California, Berkeley
- University of California Humanities Research Institute
  - University of California, Irvine
- Virginia Center for the Humanities

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Chairman Ford. Thank you very much.

Mr. Childers, you have been known to this Committee for a long time and in other capacities. So my comments, I want you to know, are not directed at you individually.

I strongly suspect that you have been at least slightly subverted by the bureaucrats over there, because what I heard coming through your statement here—while I wasn't in the room, I read it before—was kind of a general, "This isn't very much money, it is not very many people, but let's change it all around because it would be a little more convenient for us."

I find nowhere in your statement that the initiative to combine these programs has anything to do with anything, except administrative tidiness. In your official capacity, can you tell me if you suspect that this combination is going to either increase the number of people we reach, the number of people we train or in any other way improve the program? Or is it simply going to make it easier on your bookkeepers over there?

I find it hard to believe when we totaled it up. There is about 4,000 people in the combination of these fellowships. We have your department over there trying to audit aid to more than 6 million people at any given time. Four thousand out of 6 million doesn't seem to me a bookkeeping chore that should drive a whole lot of tension in a 6 million person operation.

What would we have that we don't have, other than tidiness, if we were to take the administration's proposal?

Mr. Childers. Mr. Chairman, I think we would also have the second point that I mentioned in my statement this morning. We would have the ability of the department to have the flexibility to target resources on areas identified as important national areas where more graduate students are needed.

For example, this past year, after a survey of higher education associations, other government agencies and outside people in the graduate assistance and areas of national need program, traditionally, we have supported mathematics, physics, engineering and chemistry. But the consensus of a number of people was that foreign languages were also in critical demand by our government intelligence agencies, among others, as well as in the academic world. We added a small portion of national need this last year in foreign languages.

Chairman Ford. Let me see if I understand this. I asked you how we would improve over the status quo. What you suggest to me is that it would give the department, i.e., the Secretary and/or his designee more ability to focus these programs on where the Secretary from time to time thought the greatest need was.

Now, if we listened to Mr. May, these would all be mathematics fellowships. If, on the other hand, he had a delightful daughter or niece like Laura Shanner, it might all end up in humanities. Perish the thought that we ever suggest to math people they have this extraordinary ability to believe that the entire world depends upon how many mathematicians we create, although it existed for most of its time without any mathematicians. But it wouldn't be very difficult in the time of anxiety for the Secretary to decide that everything had to go into one kind of fellowship.

What we have is an array of fellowships because from time to time, people have identified a need. In the case of the fellowship that Laura has, we created that fellowship in 1980 and then named it in 1986 for Jake Javits because it was shaping up to be the kind of fellowship that we thought was most typical of the kind of person Jake Javits was. I am sure that if he was here, still with us, he would have been very pleased to see a student like Laura Shanner as one of the people pursuing humanities.

Javits was one of the few politicians around here who evidenced over any long period of time a recognition that there was something called humanities. We have people who come and go and spend their entire career on one weapons system, and become absolutely expert on B-2s or F-15s or whatever it might be, and never notice that the flowers are not blooming and the birds are falling or that the water is polluted.

But people like her are trying to remind them. Jake Javits was kind of a gadfly, you ought to know. I claimed him as a better Democrat than he was a Republican. I claimed him as a better Democrat than many of the Democrats that we had. The Republicans claimed him as a moderate Republican who was more typical during his time here than he might be today. But he had an idea that we needed gadflies.

I think that if we put these all together right now, it would invite too much direct meddling. I think it is a symptom of something that is beginning to come through to us, that someplace during the Reagan administration, people at the Department of Education started to think they were in a State Department of Education, where they administered education and dictated the form of education and dictated the priorities in education. That is a long way from where we started 25 years ago.

We have argued, and I have argued from this table for 25-27 years now, that there should be nothing in what we do with education policy that establishes that a nuclear physicist is more valuable to America than somebody studying pre-Columbian art or music at Julliard. That may no longer be in vogue, but for years, we prevented the Department of Education from making these kinds of decisions.

I have to tell you that I have fear that what you are suggesting here is consolidation as a part of its root the idea that the Department has some wisdom that isn't now being adequately shared by the rest of the country. I am not so sure I want to give you that.

But I would consider harmonizing, if you will, some of the seemingly conflicting factors in these several programs. I think we could work toward that end if we all got our heads together, so that it would seem to make a little bit more symmetrical sense between programs and determining people who are participating in them, for example, and institutions that are participating in them in a more across-the-board way.

So I think there is room for some change, but I have to tell you that I really can't go as far as you want to go nor would I trust anybody at that table to write it for you because in their testimony, you will notice that they all have, as they should have, a focus of their own. Dr. Morris, for example, in making the comparison between American Ph.D.'s and foreign Ph.D.'s, I am afraid you overlooked something very dramatically true that we don't like to admit.

A very large part of the foreign Ph.D.'s earned here are fully paid for by the government and the country from which those people come, or by the business community of the country from which they come. None of them under the programs of this Committee can be paid for with any of our money, because they are not American citizens.

You left an impression that I want to correct on the record. None of the Higher Education Act programs are available to foreigners. We can argue about whether that is right or wrong, but I don't want the impression left that the scarce dollars that we are able to seek out here are being shared with foreigners who are eating our lunch in terms of what they are buying in this country in education.

Our institutions are running after them with higher tuition all the time. If the government of Taiwan is paying your tuition, what difference does it make what the tuition is?

So I think, intentionally or unintentionally, you have left on the record the impression that we are somehow short-changing Americans to educate foreigners.

Did you want to say something about that?

Mr. MORRIS. Yes, sir. There is a report from the National Sciences Resources Center, which shows of all the graduates how they were primarily funded. It pointed out that 8 percent of those graduates who were non-American citizens received their primary source of funding from the Federal Government, from the U.S. Federal Government sources. Now I didn't say that it was directly from these programs. It could be indirectly through research assistantships or other things, but it is from Federal money.

The point I was making is that for African-Americans, only about 8 percent, and the figures are in my testimony, did they—of our students, have been primarily funded from the Federal Government. Sixty percent of African-Americans have their primary funding from their own personal resources and family resources, which is greater than any other groups, sir. So I didn't say it was your program.

Chairman FORD. Do you remember when President Carter froze the Iranian assets when our hostages were taken? Do you remember the first relaxation of that freeze of their assets? We discovered we had 32,000 Iranians in this country in our colleges and universities being fully paid while they were going to college. Then if we kept the assets frozen, we had 32,000 unemployed, unpaid for people to deal with.

So the very first relaxation of that freeze was to permit the payment from American banks of Iranian funds to colleges and universities educating Iranians. That is but one example in recent years of the magnitude of foreign government expenditures in sending students to our schools.

The one big thing that we export from this country is higher education. There is not a country in the world that doesn't try to get people here to take home what they perceive to be the one thing that we still do better than anybody in the world, and that is to provide a higher educational opportunity.

Mr. **Morris**. I would just make one more comment, sir. When you look at the foreign doctorates as to how they were funded, the majority of them were not primarily funded from their foreign governments, according to the Survey of American Doctorates.

Chairman **Ford**. Well, what American source of funding is going into them?

Mr. **Morris**. There is a variety. Some of it from American universities. Some are probably research assistantships from Federal research projects and other projects that are funded by the Federal Government and numerous others. There is a breakdown in that survey which showed that for those who got the doctorates.

Chairman **Ford**. Would you submit a copy of that survey for the record?

Mr. **Morris**. Yes, I certainly will.

Chairman **Ford**. So we can pursue their sources.

Mr. **Morris**. I certainly will.

Chairman **Ford**. Thank you very much.

Mr. Coleman.

Mr. **Coleman**. Mr. Chairman, the National Need program, which has been in operation now for 3 years, is an attempt to not prohibit the matriculation or pursuit of a Ph.D. by foreign nationals. But it is an emphasis on American citizens, which, I think, is not a mutually exclusive situation.

The concern we had was the too few American students in graduate programs receiving graduate degrees in relationship to the foreign nationals who, in many instances, statistics show, do return to their native land. When they get an engineering degree, they go back and build bigger and better Toyotas which compete with the Detroit Big Three automobile manufacturers with which we are concerned with on this committee from time to time.

That is the point that we are trying to make. We want to make sure that there are American engineers, Ph.D.'s receiving degrees from our institutions that are going to build cars that will compete with the Japanese models. That is, I think, a very important point that we want made.

The concerns, Mr. Childers, let me start with you and just go down the panel. We made rather broad in the language, the authorizing language, designating areas of national need with the advice of not only NAS, the National Academy of Sciences, but also with the endowments of the arts and humanities. So there is a little flavor there.

But we spelled out some things like mathematics, physics, biology, chemistry, engineering, computer science, geosciences, and foreign languages as necessary areas of study. So I don't know that any new law needed to be written to give you the flexibility to do that, because that is how the current law reads. The Secretary takes those subjects that we referenced into consideration, but we still left it up to his discretion to determine which areas of study should, indeed, be funded under this program.

There have been those who wanted to extend this into the humanities. I believe that is what the Javits program is all about. I would love to, also, except we have restricted funding. And I think we have to identify where our most critical needs are. To me, and I think to most people, the scientific fields and foreign languages play a role in that category.

We have got to continue to isolate, focus on, and direct our attention in those areas first. Perhaps we can address other problems later on, that is why I have some concerns with your proposal, which may be the opposite of what the Chairman's concerns were at the same time.

How many people—how many institutions applied for the National Need Program last year? Do you recall?

Mr. **Childers**. By field, there were 41 institutions applying for awards in mathematics. I don't have the summary right in front of me, but I can—there were——

Mr. **Coleman**. I mean total applications for the program.

Mr. **Childers**. About 250 institutions applied for awards in the GANN program, sir.

Mr. **Coleman**. To fund how many fellowships for students?

Mr. **Childers**. We are this fall funding 1,146 new Ph.D. candidates.

Mr. **Coleman**. How many applied? That was my question.

Mr. **Childers**. How many—?

Mr. **Coleman**. How many applied? Within the institutions that applied, how many does that represent in individual fellowships applied for?

Mr. **Childers**. Oh, it is at least double that.

Mr. **Coleman**. So if the competition is pretty keen, and then you are funding less than half of the applicants; I would think probably even fewer than half of the applicants. How are you sending out that message? One of the people here, I think it was Dr. May, said that it is a kind of well-kept secret to a certain extent.

How are we publicizing this program even though there are a number of institutions that know of it? And they have the associations that represented them here? How are we publicizing it, so that if nothing else, students might start getting the institutions interested in doing things on their own behalf?

Mr. **Childers**. We work directly with the institutions, Congressman, as well as their representatives here in Washington, the various associations. Every year, the Office of Higher Education Programs sends out to each president of every institution a letter and a catalogue of the programs for which their institution would be eligible to apply during the coming year. We try to also send it to multiple officials within the same institution. We send it to dean of the university as well.

I will admit it is a problem, and, indeed, we have major universities who come by my office from time to time who are really not very familiar with this and the other graduate programs. This dissemination of information is a matter that we constantly have to work on.

Mr. **Coleman**. I note in Dr. D'Arms' testimony that some of the scheduling of the awards, or allotting of the awards could be improved. Have you had a chance to look at that? You are not making any suggestions, or are you making suggestions along those lines, as well? I am looking at page four of his testimony.

Depending on how students are recruited, the enticements of these types of awards could be there, but maybe the effects have been lessened because of the schedule that the Department is on. I don't know if that is something that is a major problem with you. It seems that we want to make this as important of a program as possible. Perhaps Dr. D'Arms might——

Mr. D'ARMS. Yes. I think, and my colleagues would corroborate this, I think, we feel that there really is an inconsistency between the timing in the department and the times in universities when award decisions need to be made.

If, for instance, students have to commit to a graduate program by April 15th for a program they will begin in the fall as the department, there is just no way that a portable fellowship which is announced after the date of April 15th could help the student's decision-making about which program to enroll in. So I think this is what I meant in my oral testimony about greater coordination between the universities, who are the main beneficiaries of these programs and the department.

Mr. COLEMAN. Also, I note in your testimony, you are suggesting adding a university matching requirement so that recipient individuals have at least one year of university-funded, supervised training teacher experience.

Could you tell us as the president of the association organization: Isn't it true that one of the real problems we have is that people may be brilliant scientists, but lousy teachers? I assume your suggestion is going to make sure that our dollars are spent in trying to make them better teachers. Could you elaborate a little bit on that?

Mr. D'ARMS. Yes. We had long discussion in our task force on institutional policies about this very point. We believe that education is truly the responsibility of all the persons getting a Ph.D., whether they are aiming for careers in research and industry or in business or academic life. Clearly, those aiming for academic life must be better prepared to teach. But we believe that the need to communicate well is a central obligation to all Ph.D. students.

Mr. COLEMAN. Let's talk about communication, because part of the overlap problem that we have is that a number of foreign nationals who are in our Ph.D. programs, and in all of your institutions, teach some courses. Some of them are not the best English language speakers.

Have you had any surveys or response from your students who have felt that there is a language problem and that you are forced into sometimes using these people as teacher's assistants, and, yet, it is far from desirable communications-wise.

In other words, here we have again, because we don't have American students in these positions, a situation of relying on foreign nationals, who don't even speak our language very well, who are training our next generation of scientists.

Jerry Pollitt, do you want to comment on that?

Mr. POLLITT. Well, that is a problem. It has been a problem for us, and it has been a problem around the country, as you know. It is not just true in the sciences; it is also true in economics in which there are a great many students. We recently made some effort, at least to address this problem—I don't know how successfully, partly by raising the requirements in TOEFO, Test of English as a

Foreign Language, for admission; and then a second tier of achievement before a student is eligible to be a teaching assistant.

We also, alas, put some more money again into a program which provided cost-free training in English as a foreign language at Yale for foreign students. Previously, we had had such courses available, but the students had to pay for them. Many of the students who have this problem are from China. They are Asian students, anyway, and didn't have the money to afford this kind of training in English as a foreign language. We now pay for it.

The problem we have had once we did all this was inspiring the faculty advisors to insist that the students go down and start taking these courses right away. If they didn't do that, they would come to a point where they would have to take a test before they could be assigned as laboratory assistants or teachers of any kind. Many of them ended up failing. But that seems to be the most we can do as long as we are going to have a significant number of foreign students teaching in these capacities. I think that every university needs to address that. It is a very serious problem.

The undergraduates and their parents go out of their minds when—particularly in a place like Yale where the tuition is not insignificant—when they pay that bill and then they find that their child is being instructed in a subject by someone who is barely intelligible. It is obviously dismaying to them. We are doing everything we can to try to rectify that.

Mr. **Morris**. We do have that in historically black institutions, too, with the sciences.

Mr. **Coleman**. Dr. May.

Mr. **May**. I'd like to say that our program goes, in fact, a little further. As of this fall, every entering foreign student in the sciences must show up on campus 2 weeks early, must take an exam in English—a very thorough exam. If it is not passed, he must take 2 weeks intensive English as a foreign language training, and be retested. If he doesn't pass that, then there is a university-funded, intensive English as a foreign language course that he must enroll in. There is no latitude. He must pass before he is allowed to continue his graduate training, let alone teach.

Mr. **Coleman**. Dr. Morris, let me ask you: Is there an informal or a formal relationship between the historical black colleges and graduate programs, in general, or is it pretty much all ad hoc on a recruitment basis and so forth? Do you have any suggestions to assure that the graduate programs in the country, and we have talked a lot about the sciences, which you also talked about.

Is there enough connection between your fine—well, say the University of Chicago, as an example, sitting next to you and the ability to recruit out of where, I think, 70 percent of the black students in the country are probably going to school?

Mr. **Morris**. Are more in the sciences.

Mr. **Coleman**. In sciences in historically black colleges.

Mr. **Morris**. There is an organization, CIC, of the Big Ten, and the University of Chicago, which has some very increasing effective networking kinds of relationships. I see Mr. Hayes here. One of the things that increasingly is happening that has been encouraged by Defense Department relations and NAFIA, have been agreements or are sort of joint working agreements.

We, for instance, at Morgan State, have one with the University of Illinois in Chicago, numerous of others of our graduate research institutions. Howard and others and Jackson State have, in terms of summer relations to national research labs. So we are beginning to get some of these linkages.

But I think that more is important. It is really important. One of our most important linkages can be strengthened, and that is between the graduate departments and some of the granting institutions and our graduate departments and our undergraduates, for instance. We would like to cite the figure between 76 and 86, almost 10 percent of all the black undergraduates have majored in physics on our campus. I don't think that was widely known.

The other thing that can be done is part of the relationships as we strengthen graduate education in historically black schools with additional these linkages and specific kinds of infrastructure, development kinds of things. All of these things can be done, Representative Coleman.

Mr. COLEMAN. They are being done, and you feel——

Mr. MORRIS. I am not satisfied with the last, for instance. I don't think we have really been focusing enough on strengthening the historically black graduate kinds of capabilities. I think we are making great progress in the linkages, in many of the linkages, especially the defense and energy and other kinds of related in the sciences. But so much more needs to be done. The glass is half full, but, really, we can all do a lot better.

Mr. COLEMAN. Ms. Shanner, thank you. You had very fine suggestions about some of the limitations we are going to be sure we review. I don't have any specific questions for you, but I think your testimony, obviously, was well-thought out and took a lot of time. It doesn't look like you had a tooth ache when you wrote it. It should be all right.

Dr. May, let me make one final comment. I really do appreciate your allowing me to ask all these questions, it is the only time we address graduate education in 5 years. Knowing that, we ought to spend some time on it. I want to explain why this isn't just an elite type of interest that we have here.

Take mathematics Ph.D.'s, truly the pipeline issue here is that we don't produce our own Ph.D.'s in mathematics, many of whom would go into the college classroom as teachers and become practical mathematicians, but also related to the classroom, they would end up teaching people in undergraduate positions who then go into our high schools and our elementary schools as teachers.

That's how this committee spends much of its time wringing its hands and working with the administration on projects 2000. The goal is to encourage literacy and to ensure kids get all of the basics. Boosting our efforts in K through 12 is extremely important.

But if we don't have people in those classrooms that are well-trained? Thety should at least have the ability to go on and get those advanced degrees in order to be able to be in those classrooms. It is a pipeline issue. We cannot lose sight of that fact.

Mr. MAY. In the long run, there is a danger of having enough people in the classroom, period. Our dependents on foreign Ph.D.'s is very unstable where the flow of people from China, for example, has to be stopped and is being stopped now. Over one-third of the new Ph.D.'s on the market are from the People's Republic. Without them, there would not be enough people to fill the open jobs.

It is also extremely important that we have you as role models. I would like to emphasize that this program, although it is directed at graduate students, is really forcing departments to rethink their role. It is important that it comes from the Department of Education and is departmentally funded, rather than portable and individual. It plays a different and important role.

The linkage of programs at different levels, I think, is critically important. I don't think anybody is doing a good job of training African-American in mathematics. After all, I told you there were nine Ph.D.'s the year before, six the year before that. Over a period of 3 years, there were 19. These numbers are minuscule. We have got to attract people into the mathematics and the sciences at an earlier age.

I think programs, such as our department that involve research mathematicians not in their own elite specialty solely, but actually engaged in the community and in direct hands-on teaching of people at a younger level, is going, in the long run, to be more—the only, I think the only effective way that we are going to reach people.

We can't start it at the elite graduate level. It doesn't do anybody any good, least of all the students involved, to throw them into a program where they are over their heads. We have to reach out, and we have to have those graduate students that we are training have contact with people at all levels. That is why we want to engage our national need fellows as teachers in our high school program.

Mr. **Coleman**. I think that is absolutely correct. I think you should be very proud of that program. You have seen the pipeline. It is us, and you are shortening it by allowing people to be exposed to the needs—and while we are talking about role models, they are out there teaching even before they get their degree. Another generation comes through, they teach them. That generation is supposed to be the new role models. They are making that role model connection two generations quicker. I think that is outstanding.

Mr. Childers, I hope that when we find things like this happening, they are passed on. That you send such information out with your letters. That you can show the university administrators that there is more to it than an "X" number of Ph.D.'s. I think that would be great if you could do that, and find out how they would use that. I didn't know about it until this morning, and I keep pretty close tabs of what is happening out there in this program.

I'd like to hear more anecdotes like this, more experiences that everybody can use, because if it works in Chicago, it will work anywhere. I think it is something that we need, and the administration and the department would be a great clearinghouse for that opportunity.

Mr. **Childers**. Sir, I just wanted to respond to a couple of points you made during your questions. One, for the record, the institutions and the National need program applied for 303,066 fellowships this year. We are funding 1,146. So the ratio is closer to three to one, than it is of two to one, of applications to funded students.

Secondly, we are very conscious of the needs of the university community. These discussions on timing are not new. We had a couple of unfortunate incidents this year. Funding prevented us from reading one of the programs earlier in the year. We weren't able to get engineers to read our national need to the engineering panel, which delayed the whole thing.

But for next year, we are trying to move up the award dates and all these graduate programs to as early in the academic and fiscal year as possible. For example, the proposal from the Office of Higher Education programs for next year hasn't been finally approved in the department, yet, but would be to make all the awards by the end of January, which I think would respond to some of the people of this panel today. It would help them in their admissions and recruitment and selection process.

But all these programs we are going to try to move early into the fiscal year next year.

Mr. ANDREWS. Thank you, Mr. Coleman.

Next, the Committee will hear from Mr. Hayes. We congratulate him on his role in the triumph of the Chicago Bulls last night.

Mr. Hayes.

Mr. HAYES. Thank you, Mr. Chairman. Please remember that the Bulls are only a minority in our society. Some of them have reached great heights that we all dream about. I want to acknowledge, before making any comments or raising any questions, the presence among our audience of the President of the Chicago State University, Dr. Cross. She made available her facilities at that university for a most recent oversight hearing that we had on this very subject in Chicago.

But I also want to say that we also had a hearing at the University of Chicago. They let us use their facilities.

I am bothered, and I am directing some of my questions toward you, Mr. Childers. I am not picking on you personally.

The question of access and opportunity for higher education rest heavily on my mind. When you notice a decline in the number of kids—I am not just talking about graduate students; I am talking about those who would like to go to college and get a higher education, but economically cannot go.

I don't know in the program that you have outlined in your statement, particularly as it relates to the fellows program, from the number—when you talk about—Our Chairman, I noticed, he mentioned some 6 million students are part of that whole consortium of students who are now going into these institutions with only about 4,000 of them actually being helped financially.

Still, that means a greater number of them don't have the opportunity. What is the Department of Education doing? Many minorities, I know, in the undergraduate pipeline, which are declining, are already too over-burdened with debt to pursue a graduate degree.

What is the department doing specifically to ease this problem?

Mr. CHILDERS. Congressman Hayes, you are absolutely right. This is not just a question of graduate education. It starts a long time before that. That is one of the reasons why Secretary Alexander is so focused on K through 12 education and improving it, because unless that is improved, there will be no undergraduates or graduate students for the future.

At the undergraduate level, as you have already heard from the Secretary before this committee, we would like to increase the amount of grant assistance to the—to poorer students, which would help more of the disadvantaged in our society. We would like to increase the maximum awards for that to enable them to complete their undergraduate education.

The office that I head in the department, the office of higher education programs, our higher priority, the programs that we spend the most money on are access and retention programs for disadvantaged students. I believe you'll be having a hearing on that in this Committee next week, but we are very specifically focused on that as to getting an economically, disadvantaged and first generation students through elementary, secondary education and into postsecondary education at the transition from undergraduate to graduate school, sir.

We have the Ronald McNair Program, which is to help prepare—these students, minority students, disadvantaged students you are talking about, to help them prepare for graduate students. So we have a whole panoply of programs.

Of course, the department as a whole, we go through K all the way through graduate school. In my office alone, we have programs that start in the seventh grade and go all the way through the Ph.D. degree. I absolutely agree with you. It is a continuum. We cannot just isolate one part, but we have to work with these young men and women throughout the whole process.

Mr. HAYES. Would you, by the way, favor the current Pell Grant Program becoming an entitlement?

Mr. CHILDERS. I think I—that is not my specific area within the department. I think I better stick with the Secretary's point of view at the moment.

Mr. HAYES. But if you could talk to the Secretary along these lines, it would be helpful.

Mr. CHILDERS. Yes, well, I will certainly let him know of your comments this morning, Congressman.

Mr. HAYES. All right.

Now, Dr. May, in your testimony, you discussed your summer program primarily focused on inner city students. Does that summer program center on science and mathematics?

Mr. MAY. Yes.

Mr. HAYES. How long has it been in existence?

Mr. MAY. This is its third year this summer. It is a program of our department, so it primarily is mathematics and related areas of physics. You are cordially invited to come to it. If you are in Chicago, it is an experience. It's fun. You should come.

Mr. HAYES. All right. I'll be glad to maybe arrange it in my schedule.

Mr. MAY. Thank you.

Mr. HAYES. You mentioned a fact last year that there were only nine African-American Ph.D.'s in mathematics and science.

Mr. MAY. In mathematics. I don't have the figures on science.

Mr. **Hayes**. In mathematics. What do the numbers look for master's degrees, as well as Ph.D.'s for minority students at the University of Chicago?

Mr. **May**. Our undergraduates, there is a good proportion of African-Americans. Our graduate students, there are very, very few. I think two at the moment. It is very hard to find people who have the qualifications who have had seen enough mathematics and who apply it. We have very few African-American applicants, and this is true, unfortunately, of all the major research departments in mathematics.

I don't really understand how we address this. We send brochures to the contacts with the historically black colleges. For example, we recruit for our summer program with direct contacts. There is no easy solution.

Mr. **Hayes**. We have heard testimony. You know, we have had a series of hearings here on this whole question of authorization of the Higher Education Act. We have had a panel, as I remember, some corporate entities—I am talking about the biggies in corporations.

I heard the testimony from one who indicated that when it comes to math and science, you can hardly find students in America. They have to go overseas in order to find students that have been trained in the area of math and science, who have degrees that they can use in their employment and their positions.

The thing that really disturbs me—I wonder—and I am not just directing this to you, but the rest of you on the panel.

Do you see the need for the intensification of our efforts to offer great opportunity for our own American students to enter in the field, particularly math and science, which we are so low in our enrollment generally. In fact, one, I think he was from IBM, one of the executives made it quite clear that in order to even be eligible for even getting into the program, you have to have at least 2 years of college. So they can't find them here. It isn't that they aren't here. They are here. I have got people who live in—who graduated from high school, who live in public housing in Chicago, who just don't have the chance or opportunity. I think it is in our interest.

I'll make this statement: One of the best defenses that this great nation of ours could ever have is to educate its people; not so much in whether or not we develop MX missiles or things of this sort where we are prone to make our priorities as to how we spend our money.

I'd like to have your reaction. How can we do that? What can we do to take advantage of our own unused talent that is out there who want to enter into the field of math and science, but don't have the privilege? What can the universities do to reach out for these students?

Mr. **May**. I think the most important thing is to attract the students to want to go into mathematics and sciences—people in your district, in our district. That is not the first career. That is not the first thing they think of what they want to do or what they think of as an opportunity for them.

Some of them who have participated in our summer program have since enrolled at the University of Chicago, and at other undergraduate schools as undergraduates majoring in mathematics.

With luck, 4 years from now, some of them will go into graduate school. There is no shortcut to it. You are not going to be able to just start at the graduate level.

Mr. HAYES. Dr. Morris.

Mr. MORRIS. One of the things—there are a couple of programs that we are doing that really starts to focus on earlier and earlier intervention. You probably have may seen our 2000 Project with Dr. Spencer Holland. It has got a lot of where it gets some of the models, the African-American men male models, who are in corporations, who have used mathematics into the elementary schools to do mentoring. This has gone on in Washington. It has gone on in Baltimore. It has gone on in Miami, Minneapolis and some other places.

We have what is called an ACE program, Academic Champions of Excellence, which includes from the levels of grade 6 through 12, science and math supplementary education. It has been funded by Carnegie; it has been funded at a statewide level. There is increasingly much more attention being paid to earlier and earlier intervention. That is going to have some pay-offs that is going to lead into some of the programs that we are talking about here, some of the summer programs for university mentoring.

What has happened is that it has been ignored for so long that when you start the intervention programs earlier, it is going to take some lead time to fully reflect it. I think we even need more resources of those programs and greater emphasis. But I think that that is one of the things that must be done. We are beginning to finally focus on some of the earlier intervention.

Mr. HAYES. Mr. Childers.

Mr. CHILDERS. Congressman, I anticipate your hearing next week a little bit, but I would like to note at this point that since you have asked that the Upward Bound program, one of the trio programs, this summer is starting special summer math and science enrichment institutes which are around the country in the various regions to bring young men and women in for special math and science.

These are high school schools—special enrichment during the summer, which then will be carried over into their regular academic high school years to attempt to stimulate the interest and support of these high school students in math and science and hope that they will go on to college in these fields in later years.

So at the department, we have specific secondary school programs to do exactly this as well.

Mr. HAYES. My final question is one directed to you. This is a procedural question. So I will be very clear, so I can explain it to some of my constituents who are inspiring to get an education.

As I understand it, your fellows program, which your government contributes money to, the Federal Government; that goes to the school. Right?

Mr. CHILDERS. All of our programs, graduate programs, except Javits, which you have heard this morning, are institutionally-based. The funds go to the institution, which selects the fellowship.

Mr. HAYES. That is my next question. Then it is up to the institution to select those who are eligible for the recipients of that fellowship program, is that right?

Mr. **Childers**. That is correct.

Mr. **Hayes**. Does the government do anything to police that?

Mr. **Childers**. Well, we get performance reports on an annual basis as to students selected, whether or not they are making satisfactory progress toward the degree. A number of these programs are so new, such as the graduate assistance and areas of national need, that we don't have a track record that enables us to say that X percent after so many years are actually getting their Ph.D.'s, because, this, of course, was one of the programs from the last reauthorization. So I don't have a great history to report to you, but we do have annual reports and are tracking the progress.

Mr. **Hayes**. Without skating on this thin ice of being accused of maybe thinking about quotas, I just want to say that what I am seeking is a greater participation on the part of the Federal Government in terms of more money, but at the same time, let's do what we can to increase the participation of women and minorities in these kind of programs. I think they are entitled to do it. That's all.

Mr. **Childers**. I would just like to note for the record that the legislative proposal, that the administration is putting before you today, calls for this consolidated graduate program to seek out and fund groups traditionally under-represented to the maximum extent feasible. Some of our current programs only have language, such as institutions should seek, or try to find. I think this even strengthens that commitment and language to combine with the academically talented thrust of these programs as well. But we are very much committed to this area, Congressman.

Mr. **Coleman**. If the gentleman would yield?

Mr. **Hayes**. Go ahead.

Mr. **Coleman**. I think that is a very important comment. In the current law that we put in effect 5 years ago in the National need program, one of the things that the university has to do—the applicant here, is to set forth policies and procedures to assure that, in making these fellowship awards to individual students, they will seek talented students from underrepresented backgrounds. That is in there, and that is how we are trying to help that situation.

I thank the gentleman.

Mr. **Hayes**. Thank you very much.

Mr. **Andrews**. Mr. Gunderson.

Mr. **Gunderson**. Thank you, Mr. Chairman.

Thank you all for your patience here this morning, especially for that second panel who hasn't even gotten up here yet.

I don't mean to rain on anybody's parade, but the reason that I stuck around for the Q&A section is that I thought it was important to share with you that there are some on this panel who are deeply disturbed by the state of graduate education in this country. I think that we are falling behind drastically in the needs of graduate education for the 21st century.

I think that we spend too much money on too few students. I think our institutions, unfortunately, are doing a better job at exporting graduate education than they are at preparing people here at home. I think we spend too little money on graduate education in areas of critical need. I think we have a distinct racial and ethnic and gender problem in graduate education that we are talking about but are not succeeding in doing much about.

We have seen the cost of graduate education far exceed the rate of inflation. We talk about the Federal Government raising the cap. That is only one small part of that particular problem. Frankly, we do almost nothing for the nontraditional students who are part-time graduate students in this country. We talk about becoming a nation of students, and frankly, I see nothing in anything any of you have suggested from the department on down that will contribute to becoming a nation of students in the graduate area.

I am really tempted, as I listen, and not picking on any of you in particular; I am very tempted that what we ought to do is we ought to extend Title IX for one year. We ought to create a commission on graduate education to determine the needs and strategies of meeting graduate education in 21st century America. We ought to come back here next year, and start all over.

I say that, because I am struck by the willingness to continue the present programs while we acknowledge that they are failing miserably in every area of our goals and interest.

Let me start with you, Mr. Childers. In your reforms—and I am not totally critical of the administration's reforms, because at least, you are doing something different. At least you are willing to say that business as usual is not the way we need to go. But I am struck by the fact that you are going to limit your proposal to only full-time students in graduate education.

How does that coincide with the secretary's proposal for a nation of students?

How does that coincide with the concern that everybody in this room raises that we have too few students attending graduate education programs today, because they can't afford them?

Mr. CHILDERS. This particular program is basically oriented toward getting more American citizens into the Ph.D. track and completion, as you have heard also this morning, the link to the Ph.D. is so exceptionally long, that we really would—this particular focus is on getting students to the Ph.D. degree in areas of national need, hopefully, as quickly as possible.

We do have a concern for the Nation of learners at all levels. I think the secretary is making proposals to involve nontraditional students, part-time students more in our higher education. This is, as you have noted, a smaller program, but it is focused on trying to get students to the Ph.D. on a full-time basis.

Mr. GUNDERSON. But I don't understand that as an educational goal. If we don't have enough students in graduate education; and we don't have enough money to get them there; then probably what we ought to do is we ought to take some of that money and spread it out among a higher number of students, and we ought to say it is okay to do graduate education at nights and on weekends.

I mean isn't that a legitimate common sense strategy to solve the problem we have?

Mr. CHILDERS. Yes. I would agree with you. We need to get more people into graduate education at all levels. This proposal is, as I say, focused on the full-time students.

Mr. **Gunderson**. But I am trying to get from you I don't understand why it is. I mean it seems to me—let me expand the rest of that.

What percentage of your graduate students at your institution are part-time students?

Mr. **May**. May I answer?

Mr. **Gunderson**. Sure.

Mr. **May**. With all respect, I think the training of mathematicians and scientists, it is vitally important, really, to try to make it possible for as many as possible to be full-time rather than part-time students.

Mr. **Gunderson**. Why?

Mr. **May**. It is hard to become a mathematician or a scientist. You have a very great deal to learn. These are subjects in which people traditionally do their very best work at a very young age. For example, the major prize for mathematics is restricted to people under 40 years of age. People should be geared up as rapidly as possible to make the greatest possible contribution to the field and to the educational program in the United States.

Mr. **Gunderson**. In all due respect, Mr. May, that is a terribly elitist answer.

Mr. **May**. It is not intended to be so. The idea is that it is expensive to be a graduate student, and that is part of what you are addressing, of course.

Mr. **Gunderson**. Which none of you bring up and talk about. I mean you can't just come to the Federal Government, and say you've got to spend more money on the education because the cost of graduate education is expensive.

We have got to deal with why is it expensive and how do we solve that?

Mr. **May**. It is expensive because it is manpower intensive.

Mr. **Gunderson**. Why don't we take some of these best college kids in math and science and put them into the high school and design a graduate program for them on a part-time basis to solve the problem that Mr. Hayes has, to solve the problem that you have in finances, to solve the problem you have in getting a diversity in your graduate programs and in meeting our national needs. I mean what is so crazy about that idea?

Mr. **Morris**. Can I help?

Mr. **Gunderson**. Sure.

Mr. **Morris**. Congressman Gunderson, I think that some of the things you are saying are not either/or, but both/and. For instance, the idea of a commission to look at graduate education makes a great deal of sense. The idea of some support for part-time students is the need—we don't have enough for the full-time students and there is a need for a lot of part-time student support.

A number of my students are part-time. Often, in part-time, you find many of them are in areas of professional degrees—MBA and other programs. Sometimes you can find their employers can reimburse. I find that in our professional educators, they can get employment—their employers can reimburse some of their funds. I find that in MBA program, that they can get reimbursed.

When you are in the humanities, you often don't find the same kind of employer support for part-time students. But I think the idea of funding for part-time students is, of course, very important, too.

So many of the things that you are saying—we need a commission. We really do to really focus on graduate education.

But one of the advantages for one who has, in my own graduate training, had time for both part-time and full-time. The full-time really gives you a much greater dimension of different kinds of things you can do. You have more time to interact with other students, with peers. You have time to engage in professional organizations. I had time to volunteer teaching the prisons on the side when I was at MIT. There are things that you can do that can give. It gives you the opportunity to give more.

Mr. **Gunderson**. Let me use my brother as an example, who just completed a graduate program. He took half of it as part-time, and then quit work and went full-time to complete the second part. Now, he did it for economic reasons. He could not go full-time immediately. When you deal with all these other questions, we ought to be encouraging other students to do exactly what he did.

Go ahead.

Mr. **D'Arms**. I want to endorse a good part of what you said. I do think there is a little inconsistency between what I also think is true that Congressman Ford remarked earlier about graduate education being one of the few commodities that the United States exports successfully. I think we really do. I think if the international world is so anxious to get the benefits of it, there are some things that I think within graduate education that we are doing reasonably well.

On the other hand, your point, for instance, about our failure to really address the needs of nontraditional students, particularly in certain areas; I think that is absolutely right. The fastest growing portion of this country's population are women 40 and older. We just aren't very good about changing our ways in universities to accommodate persons who could come for part-time work and weekends or at nights. We need to do better at that.

But I also think that a group of us, a group of our institutions really are beginning to wrestle with this. I think, too, that the flavor of the statement on our own self-criticism of our institutions that Congressman Coleman has a copy of now is worth looking at. I mean we are the persons who wrote that statement—people like us at this table. We are taking a critical look at ourselves. So I agree with much of what you said.

Mr. **Gunderson**. Laura, you wanted to say something?

Ms. **Shanner**. Yes. In my own experience, going as a full-time student is sometimes difficult enough to get through the program. I have already spent 5 years full-time, and I expect another year to finish my dissertation because I will be teaching part-time.

I know from my own experience that trying to handle even part-time work with studies interferes both ways. It is very hard to concentrate and get through the program and learn as much as you could learn if your attention is scattered. Some of my colleagues hold down full-time jobs, raise families and go to school part-time. I don't know how they stay awake in the day.

What I am afraid, although I encourage older students and nontraditional students and part-time students to have these opportunities, I am a little bit concerned that we may look at that as a better economic possibility, which will ultimately cut back full-time support. I want to make sure that full-time support is encouraged and enlarged, as well as enlarging part-time support as well.

Mr. GUNDERSON. The only caution I have for you, Laura, is that we have to deal with not just an ideal situation.

Ms. SHANNER. I understand that.

Mr. GUNDERSON. We got to deal with the reality of what is going on, and that is why I think that we need to expand this. In the interest and deference to my colleagues who are patiently waiting for questions, I would like to simply ask you all to consider submitting for the record your thoughts on how we can modify present Title IX or other programs to deal with the nontraditional student?

Also, your thoughts on how do we deal with the realty that the Federal Government cannot keep up with the pace in the increase of attending graduate programs?

It is a difficult one. I asked the same question of, frankly, the regular postsecondary pre-graduate degree programs as well. We are in a Catch-22 there. I don't know the answer, and I am looking for someone to give us a strike of lightning out of the sky, and say, here is a way we can begin to deal with the costs so that we can keep at least pace on the percentage of the cost that we at the Federal level or through industry, elsewhere, might support.

Mr. MAY. May I address one point?

Mr. GUNDERSON. Sure.

Then I am done, Mr. Chairman.

Mr. MAY. I just would like to interject one statistic. In 1989-90, 43 percent of the new Ph.D.'s in mathematics were U.S. citizens, only 43 percent. But 56 percent of the students in the pipeline were U.S. citizens. I think the only really changing factor that accounts for that improvement is the National need program.

I don't think it is a terribly expensive program. I think there is real evidence that it is succeeding and increasing the proportion of Americans, the number of Americans going into mathematics and science, which is the goal of that particular program.

Mr. GUNDERSON. The only thing I will interject to you, Dr. May, is that my brother, who went to school part-time and then full-time to complete his graduate degree, went to the University of Chicago.

Mr. MAY. I am very pleased.

Mr. ANDREWS. Thank you, Mr. Gunderson.

Mr. Payne.

Mr. PAYNE. I would like to yield to my colleague, Representative Lowey and Representative Reed, who were here before I arrived. Thank you.

Mrs. LOWEY. You are such a gentleman, Mr. Payne. Since I have to leave for another meeting, I am most appreciative.

First of all, I would like to welcome Delores Cross here, too. New York's loss was Chicago's gain. I am well aware of your outstanding contributions to New York State. We miss you. I wish you lots of good luck in your new position.

I, too, want to thank the panel for their comments in particular regarding the shortage of scientists and their focus on women and minorities and math and science. It is clear to all of us, as was expressed today, by you and my colleagues, and specifically, in so many of your statements, that we have a real potential crisis. It is here now and it is growing. What is it? By the year 2000, I believe we are going to be short 750,000 scientists. We are all looking at that, and seeing how we can face the reality of the workforce today. What is it? Women constitute 50 percent of the professional workforce; yet, 13 percent of our scientists and engineers. We all know the statistics. African-Americans constitute 10 percent of total U.S. employment, and 2.6 percent of our scientists and engineers. We have all heard that this morning.

I have introduced a bill, H.R. 2142, to encourage more women and minorities to enter the fields of science and mathematics. It amends several aspects of Title IX, plus other titles in the bill. We have heard many comments today. I wonder if any of you would care to elaborate further on any other ideas that you have for us. Or, I would be most grateful, if you would submit to us in writing some comments on how you would either amend my bill or other suggestions.

I just think that this is an absolutely critical need, and we have to address it. We have to, also, as my colleague, Mr. Gunderson said, look at the real world. Look at the realities today. Many of our students just can't afford to go full-time to school. So how do we deal with the reality of our workforce? How do we deal with the reality of encouraging people?

It is my firm belief that we have to start early, as you can see by my bill. We just can't wait to the college level. We have to make youngsters feel in the earliest level that they have an expertise in math and science. In particular, women.

I can remember being a participant in a roundtable discussion, and Cal Gilligan, one of the experts in this field, stressed to us that at the same time that women are reaching the age of—girls, excuse me, are reaching the age of 13, they lose their self-confidence. They lose their self-confidence in their ability to go forward in math and science. So perhaps if anybody has anything else to add today—I know we have stressed it a great deal, I would welcome it now.

Any other comments on my bill or any other ideas?

Yes, sir.

Mr. D'ARMS. Simply one aspect of a recent study that was done within graduate programs at the University of Michigan. It showed, not surprisingly, I think, that the success rate to the Ph.D. on the part of women graduate students was considerably higher if there was a critical mass of women in those graduate programs. That is, if there are only very few, the success rate is poor. More—a greater, much greater success rate.

What it means is that women simply have to be part of the climate in graduate programs, not simply in science and engineering, but in the other fields where they are better represented as well. We need good numbers to make a real mark.

Mrs. LOWEY. It sounds like women in Congress. If we had more than just 29, can you imagine the heights to which we could soar. That is an interesting comment. I appreciate that.

Anybody else? Yes, sir.

Mr. POLLITT. I just wanted to call your attention—you are probably familiar with it, but this also would follow up questions that Mr. Hayes was asking. As a model for getting minority students into higher education in the sciences, specifically in engineering, there is one excellent program that functions very well—the GEM program, graduate engineering for minorities, which used to be just a master's program but now is a Ph.D.

Believe it or not, it is not funded a single penny, I believe, by the Federal Government. It is funded by private industry and universities working together. The GEM program, the businesses—corporations that participate in this provide a certain block of money, which not only provides part of the fellowship support for students but also gives them a summer internship and a job, if they want it, in some engineering field.

The students can be enlisted into this program, at least preliminarily, before they have gotten their bachelor's degree. They are in college, but they are at least at that level. So it is a great stimulus for them to go into graduate education. It is also a way of providing them with financial support in a science where we are terribly under-represented not only by minorities and women, of course, but even just by American citizens.

The GEM program could at least be a model, I think. You were asking for ideas that you might want to look at to see if under Federal auspices, that could be bolstered, or at least if something similar to it might be developed.

Mrs. LOWEY. Do you think a GEM program on the college level is soon enough, or do you have to replicate that kind of program earlier on to encourage women and minorities to enter these fields?

Mr. POLLITT. I think you do. I think that is the great flaw thus far. Although I think the GEM program is very good, I think you really even have to start farther back if you are trying to develop a pool of students and motivate the students to go into these fields. It seems to me it has to go back to at least high school level.

At least as far as I am aware, we don't really have anything that is very effective at that stage; although it is conceivable that the GEM model could be translated one stage back into the high school level with the cooperation of industry and possibly the Federal Government.

Mr. MORRIS. I will send you information on our Academic Champions of Excellence program and our work—and our Project 2000 program, the elementary and earlier intervention. It has been very successful for young women and minority students.

Chairman FORD. Would the gentlelady yield for me at that point?

Mrs. LOWEY. Yes, Mr. Chairman.

Chairman FORD. I am sure that everybody at the table is familiar with the study that Carnegie Foundation did a few years ago on the effects of Title IX on female participation in obtaining graduate degrees. There is one very startling graph in that book that points out that in the first 10 years after the beginning of its implementation, the number of graduate degrees by women was increasing. But it wasn't increasing uniformly.

In education and nursing or health skills, it went down very dramatically. In these areas there was a higher percentage of male to female. But MBA, law, medicine, architecture, engineering, all went shooting by the end of the 70s. They were shooting right through the ceiling.

Now given the opportunity, half of the American population started making choices about graduate education the same way the other half had always been making it—on economics. Somebody there has talked about the shortage of candidates. A female member of my family with an engineering degree applied for graduate school at one of our major midwestern universities. She was in the top 8 percentile of applicants and much to my surprise was just barely accepted, because the MBA program is over-crowded.

They can never accommodate the number of people who want to go up for an MBA. It was the same school where she got her engineering degree. If she had wanted to go on in the graduate school of engineering, they had plenty of room for her.

Now one of the things that I think is being lost here in this discussion is the human element of how many people do want to get a graduate degree in something as narrowly focused as Dr. May is talking about. The chances are that if you check women right now—and this may be something that will pass as faddishness, and I suspect you are going to find it with minorities—who successfully reach the stage of going to graduate school, they are more likely to be attracted to the graduate disciplines that are saleable on the market out there.

A woman, or an African-American, with an MBA on top of some other degree is a hot ticket right now in America. It is pretty hard to get them to think about going on to get a Ph.D. and be a college professor, when companies are eagerly grabbing them and putting them in big figure compensation.

What is your response to that?

Mr. MORRIS. Chairman Ford, you are absolutely right. But one of the reasons of that, at least for African-Americans, is that many times they are coming out, our students are coming out with very high loans on undergraduate loan obligations. With the very high loan obligations, they see as an interest that they have to try to look to the more lucrative kinds of opportunities.

Also, I found that African-American students often—you know, the professorate as an entity, what it really does, the satisfactions, the time, the influence over student, is not something that comes by osmosis, that unless that mentoringship is there. Often, I think that we do ourselves a disservice in academia. I'll just talk about ourselves. I mean oftentimes, as faculty members, we will be in class.

Instead of talking about why we are there, we will talk about why our salary is low and some of the other kinds of things. Our students here—without the compensating offsetting factors of the meaningfulness it does, or the beauty of having your students coming back to you, and saying for many, many years, and the flexibility of being able to spend all of your time on the things which you know the best. So I think that you are absolutely right.

But part of that is tied into financing, the heavily—what the students see as having to deal with a very high, undergraduate loan obligation, and the fact that it is just not clear to all the students who could—I won't speak out to minority students, especially African-Americans, who could get graduate degrees, that you could get that graduate degree and have funding fully available.

If you are a superstar, if you are an undergraduate grade point average of 4.0 or from 3.5 to 4.0, you might have that kind of confidence. But if you are between, maybe say a 3.0 and a 3.5, who could succeed in the program, you don't have everybody going after you. You don't—the NSF grants, not the cream of the crop. These are the students who are missing. These are the students who we could not guarantee that there is going to be funding available for them. So we are missing. We are missing many because of those reasons.

Chairman FORD. Well, Dr. Morris, acknowledging that there is a terrible under-supply of African-American successful graduate students, what about the phenomenon of the average big city public school in this country that can show you on their roster a whole lot of graduate degrees held by African-American males in administration and nobody in the classroom?

Mr. MORRIS. Chairman Ford, I think you are hitting a nail on the head. It is very important. One of the things that we are trying to do now, and I speak as a member of an African-American fraternity as well as our graduate dean, is to recognize that there is a need for mentoring programs. The mentoring programs increasingly—things which we can do ourselves as African-American men and other African-Americans to reach in to impact on those children are becoming very successful.

I mentioned Spencer Howell and Project 2000 and more. There are many of these that are going around. Increasing, we are beginning to give our students tutoring programs—tutoring programs from our college students going into our inner city schools. We are doing these things. We are beginning to get—we need to do more of them, but I think the realization of what you are saying—the fact that we need to make—to develop these linkages is becoming much more common, at least in our community.

The trouble is that I don't think we have enough of our successful males that are out there. We are losing too many in the prisons and in the drugs and the other kinds of things. But those of us who are out there recognize that this is a challenge that we are beginning to move to do, often without Federal programs. We are doing these as voluntary kinds of things on our own.

Chairman FORD. I apologize to the gentlelady and the other members for taking so much time. I yield back to the gentlelady.

Mrs. LOWEY. In the interest of time, I'll conclude. I just want to thank the panel. I look forward to hearing from you with specific proposals. I am aware that ACE has specific proposals. I hope that we can work together to make this a very strong bill.

Just one word to Laurie. I want to thank you for your particularly eloquent testimony and the important points which you have mentioned. I hope you will be available as we garner support for this bill to work with individual members, so that they can see an outstanding example of the use of our Federal funds.

I particularly want to comment on your statement on page four, which talks about the criteria for appointing the selection committee members and the criteria for evaluating candidates' research proposals on specific issues. You make the point that they should particularly be attentive to academic integrity, rather than political agendas. In light of current debates that have gone on, I think that is a particularly important point and I want to thank you very much.

Ms. **Shanner**. Thank you for bringing that up. I was worried that perhaps that point didn't come across clearly in my oral testimony. It is very important to me, again, especially because I work in bioethics which is rooted in controversy.

It terrifies me to think that people coming behind me might not be allowed to study Marxist philosophy or a defense of abortion or some other politically hot topic even though they are very strongly qualified. I am concerned that we protect academic integrity and merit rather than political expediency.

Thank you for recognizing that.

Mrs. **Lowey**. Thank you, and thank you for being here.

Ms. **Shanner**. Also, I would be delighted to work with anybody in the future if I can be of any assistance in this.

Thank you.

Mr. **Andrews**. Mr. Reed.

Mr. **Reed**. Thank you, Mr. Chairman. I would also like to thank Mr. Payne for graciously yielding.

Mr. Childers, I just want to explore for a moment some of the rationale underlying the proposal to consolidate these programs. You mentioned in your testimony a couple of factors. First, is the timing of the various programs. Aren't these timing issues principally administrative, and haven't you indicated you are going to take aggressive action to have a better timing sequence next year?

Mr. **Childers**. Yes, sir. That is administrative. I did mention that we want to improve the timing of these programs for the benefit of colleges and universities. The main reasons that I stressed for the consolidation were improvements in administrations for institutions. Also, the flexibility, the ability of the Secretary of Education after consultation with other agencies and institutions of higher education to, either as we have heard this morning, either focus or broaden the areas that the Federal Government, that the department would be supporting in fields of graduate education; but would enable the department to respond to needs of faculty replenishment in the future, areas that we thought needed particular emphasis.

So it is a flexibility to move funds to areas of high priority, whether that be the humanities or the physical sciences or whatever area. It was more that flexibility and administration of the program, not so much timing that I was stressing.

Mr. **Reed**. Let me just ask a couple of other questions about the administration of the program.

Right now, as I understand it, the institutions are the applicants, except for the Javits fellowship. Is that correct?

Mr. **Childers**. That is correct.

Mr. **Reed**. Would you propose changing that?

Mr. **Childers**. The proposal of the administration is that awards would be institutionally based.

Mr. **Reed**. So the Javits fellowship would no longer be a national competition of individual scholars?

Mr. **Childers**. It would not be a national portable fellowship. That is correct.

Mr. Reed. With respect to institutional support, you mention in your testimony that there are various different municipal programs, some which require matches by institutions. What is your proposal? Do you propose one standard, no matching or matching by every program?

Mr. Childers. Well, the standard proposal right now is the proposal is for a stipend of $10,000, which could be moved up in future years. But that would be for the student. The proposal is an institutional allowance or an institutional payment of $6,000. At the present time, in various programs, that ranges from about $6,000 to full tuition and fees, which could be as much as $17,000 or $18,000 in some cases.

Mr. Reed. So, essentially, your proposal with respect to the institutional report aspect would be to raise from $7,000 to $10,000 the stipends to the individual students, but to lower from anywhere from $18,000 down to a maximum of $6,000 for the tuition support. Is that a cost-savings technique?

Mr. Childers. If the institution wanted to take the funds to support these fellows, they would have to be willing to accept the institutional payment of $6,000. That is correct.

Mr. Reed. When you start lowering the awards you are going to pay people, some people might decide not to participate in the program. Is that a possibility?

Mr. Childers. Yes, but, it would go the way we are operating now. It would enable us to support more graduate fellows, if that was the case. Right now, one of the considerations is that there is a widely varying cost to the Federal Government of graduate fellowships at the present time, based solely on the cost of the institution.

The foreign language and areas fellowships program, it can—in some institutions, it is a stipend plus $6,000 to support the student. In other cases, it is a stipend plus $17,000 to support a student. So there is widely varying cost to the government at the present time.

Mr. Reed. One perception I have is that some of these administration problems are indeed administration problems, which can be and should be corrected immediately by the department, in terms of timing and in terms of other programmatic responses. It seems, then, that the thrust of the proposal is as you indicated in your second point, to provide the secretary more flexibility to change, as he feels or she may feel in the future, what programs are important.

I guess that is a question of policy, whether it should be the secretary's prerogative or perhaps the prerogative of the Congress to do that, by maintaining these programs.

I would be curious what the other panelists might have to say with respect to these goals. I don't think they are all wildly enthusiastic about all of them—perhaps some of them.

Sir?

Mr. May. I think the present diversity has very great merits. Laura raised the value of affordability in a specific program, and I think that is a very general point. There are individual—the National competition, I think, is a very good thing. I also think that the institution-based funding program for the National League serves a very great purpose. I don't think it is an improvement to eliminate either.

Mr. **Reed**. Sir?

Mr. **Morris**. I think I would simply say I think the programs need much more visibility, as well as funding, and also some continuity. There is institutional memory that is useful and experienced. I would think that in the individual administration, it could possibly be lost in the consolidation. I hope that doesn't happen, but I would just simply say that the emphasis is on much greater visibility and the emphasis on much greater capability. That is where the real problems are, much more than the——

Mr. **Reed**. Dr. D'Arms, in your testimony, you suggested that there are some specific administrative responses that could be undertaken in terms of increasing the amount of people who are actually administering these programs, and those types of things which can or may be done immediately or subject to the least appropriations.

Would you comment on that?

Mr. **D'Arms**. I would yield to other panelists on this. I think I would stand by my testimony. I think the real focus should be on how to make the programs as they exist more user friendly for the people they are designed to serve. Obviously, the department has the best sense—has one very strong sense as to how that can happen.

But I think we really need to work with those of us in universities on questions like timing and announcements and making sure that the funds are reaching the people making the decisions, that the review of proposals, applicant's proposals takes place in a timely fashion, so that awards can be given at times for students to make good choices when the fellowships are portable by where to go and so on.

Improving the effectiveness of the programs, as they sit, seems to me to take precedence over consolidation, by which much would be lost in my view.

Mr. **Reed**. Just, Mr. Childers, it seems to me that this process of reauthorization will take many, many months. I would hope, or at least I would not hope, rather, that needed administrative improvements would be delayed pending consideration, at least, of this consolidation. That you and the higher education community would work diligently and immediately to streamline and to satisfy perhaps to a great degree the administrative problems, rather than waiting for the reauthorization.

Would that be done?

Mr. **Childers**. Yes, sir, it can. I mentioned that a little earlier. We have developed a schedule, which hasn't been finally approved yet to award fellowships in all these programs at a much earlier stage in the next fiscal academic year, next year, to meet precisely these concerns to award the graduate assistance in areas of national need. For example, providing fellowships in January, which would be earlier than this year to enable the universities to plan better on their recruitment.

A couple of times this morning, members of the Committee and panelists here have also mentioned the problem of dissemination and information about these programs. That has been the subject of a specific hearing in another committee a couple of months ago. I would just like to note that there is no separate budget for publicity or dissemination in the department as there is in the Defense Department. There is no advertising budget, such as, "Be all you can be."

To advertise the program or to publicize them, I have to take money out of people's salaries. I have to take it out of the salary account to literally publicize these programs. So it is not an easy call on those matters, because I feel that these programs are understaffed administratively as well. So to further go into that creates other problems. So it is just a problem I would like to note.

Mr. REED. Well, duly noted. I guess it begs the question of whether or not such publicity was in the secretary's budget that went to the OMB. Did it emerge from OMB and come to the Congress?

Mr. CHILDERS. I don't—we just don't have an advertising budget.

Mr. REED. Two other points I would like to raise. The first is with respect to your proposals to essentially zero out Federal support for legal clinical training. I would note that the law profession is an interesting one. It is the only one that has got Lenin and St. Luke to agree that when the millennium comes, the first people to be dispatched are the lawyers. Any group of people that can unite such different philosophies needs some—maybe not encouragement, but at least recognition.

One thing I would like to point out is that I would hate to see that this proposal to eliminate clinical support was motivated by the fact that these young lawyers to be tend to be activists in terms of going to courts and assisting people. Many times, poor people that don't have access to any type of legal representation. It seems to me the rationale that they just don't want to support one profession is not borne out by the fact that we do support the education of doctors and other people.

So I would hope, and I would be very, very disappointed, that this was motivated by any attempt to limit the valuable—not only educational experience—but an experience that has high social utility in many places.

Mr. CHILDERS. Yes. I think the rationale, Congressman, is more that with limited resources, what are the areas of higher priority? There seems to be not nearly the dearth of candidates applying to law school these days as in other graduate professions.

Mr. REED. Well, it seems to me that there is one issue with respect to whether you are going to support law and education, in general, and that is a different argument. This is a particular component.

Mr. CHILDERS. That's right. But it is a component that I believe the ABA requires all law schools to have as part of the curriculum. They have to have some professional skills opportunities and law schools. We are basically supporting a basic core curriculum component of law schools. The question is: Is that the most appropriate use of Federal funds?

Mr. REED. Duly noted again. These are somewhat reminiscent of arguments we hear about Legal Service Corporation, about how we shouldn't fund to support them. I am somewhat skeptical.

A final point, and just a point I would like to make is that you are also proposing to eliminate, effectively, support for academic library technology, which, to me, seems to be not the wisest investment, unless I have misread your testimony. That that type of technology is a critical aspect of higher education. Indeed, it is a type of capital investment, which will serve us a long time, and I think would be attractive to the administration.

Am I correct in your proposal?

Mr. **Childers**. No. That is correct. That title, except for the fellowships portion for library training, which would be combined into the consolidated graduate program is proposed to be eliminated in this program.

Mr. **Reed**. Just a conclusion. It is my sense that that type of capital investment has a multiplier effect when it comes to graduate training. I don't know if any of the panelists would like to confer, but unless we have that type of access to information, and that type of technological edge in graduate training, particularly, we will fall further and further behind.

I would go out and listen to graduate deans and many people who bemoan the fact that at one time we had the laboratories that were the best in the world for scientific research and the libraries, et cetera. My concern is a long-term mistake. Indeed, we need the human capital, the students and the teachers, but if we don't have the libraries and the laboratories, maybe we'll lose our edge in exporting talent throughout the world because they won't come here any more.

They will go to the universities and the businesses in other countries. So I would hope that you would reconsider seriously that proposal.

Thank you.

Mr. Chairman, thank you.

Mr. **Andrews**. Thank you, Mr. Reed.

Mr. Payne.

Mr. **Payne**. Thank you very much. I certainly will not take up too much of your time, but I also would like to acknowledge Dr. Cross, who was acknowledged by the gentleman from Chicago since she is the president of Chicago State University, the first woman and first African-American woman to become president of that university. Representative Lowey mentioned her also because of her activities in higher education in the State of New York.

But all of it would have been impossible without the public school system in Newark, New Jersey, where I am from and went to a high school before she did, but in the same town. So we from Newark, New Jersey, are extremely proud also of Dr. Cross.

It is good to see you here.

I would just like to say briefly that I am sorry that I missed all of the testimony, because I went out at 8 this morning to an Air Force Stealth technology review. I was kind of interested in all of that technology. I didn't see any of the parades that we had the last few days. But I did want to see what we were talking about as it relates to our future capacity. They had a really excellently prepared booklet here that gives you a lot of information.

I looked at the F117, the F7-117. It was only the second generation Stealth. The ACM is a third generation, where they have been successful in integrating the aerodynamic efficiency in Stealth into a small vehicle.

They talked about the B-2, and this was the fourth generation of Stealth, where they were able to blend the Stealth technology in large aircrafts with the high aerodynamics efficiency with a large payload. That was important.

The F-22, which is our optimized air to air operation is going to be operational by the year 2003. It is going to make the F-14s and F-16s and Tomahawks and Stealth 117s all look like child's play.

The only reason I mention that is because when I read here about the fact that there will be a combining of the early identification program that will take the program of grants to institutions to encourage minority participation and graduate education, and they are going to merge it with the McNair program that would lose $300,000 with the merger.

We look at the fact that your parts of the goals of Title IX are to enhance and the diversity of university faculty through fellowships and trainerships, and to support individual opportunities through supporting under-represented people in careers; and the fact that the Pat Harris program will probably not be funded at any higher level. I assume it will also be merged with something else, which will end in another reduction.

I just get confused when we talk about how do we maximize full-time students and part-time nontraditional students. As you know, 40 percent of the undergraduates are now nontraditional, but it is said that in math and science, it is best to have full-time students. If we pit the two against one another, as the gentleman was bringing out, that he felt that we should look at nontraditional students, but we don't have the funds to do it.

The reason I bring up all of this business about my early morning trip that made me late to get here is that, the priorities of this nation, believe me, are so upside-down that it shocks me. To talk about the B-2, which started at $660 million, but now it is $850 million because of a little over-runs. But it is going to move into a billion a piece if we don't build a 175, because the reduced number to 75 will increase the cost by 20 percent. Therefore, making, eventually, one B-2 bomber costing $1 billion each.

I went and sat in the thing. Cramped, two people of your size, Dr. Morris. Two of us couldn't have even made it.

But it is $1 billion a piece. It is insane. It makes no sense. They are starting on a plane, the F-22, which will fly in the year 2003, 2003, $40 billion to start. It will be billions and billions of dollars. And we are sitting here, becoming a second-rate country, having to depend on foreign countries to send their people and then taking our technology back from universities that we fund with our taxpayers' dollars.

They come in and pay the tuitions. It is not a bad deal, as a matter of fact, because they are not putting all that money into research and technology and having universities come in and get large grants. They are taking it back. Pretty soon, the University of Tokyo that will make MIT or Stanford or Harvard look like child's play. As you know, they replicate very well. Look at the car. We invented, and, now, they sell them all.

So I wonder where we are going. I mean it doesn't make sense. Of course, all of you people on the right certainly have nothing to do with it, nor do I expect being an assistant commissioner of education.

But I guess it is not even a question; it is more of a statement. It is that our nation has got to really wake up or there won't be any need to wake up, because we will become a second rate country. We will fall to bad times, like Great Britain. Of course, their biggest spur of feeling good was the defeat in the defense of the Falkland Islands.

So we better be careful that we don't find a little place that we can feel good about in 30 days as having a tremendous victory. The Falkland Islands did not make employment any better in Great Britain. As a matter of fact, I hear there is a move to change the name just to plain Britain.

We need to really be careful that we don't continually cut and cut and cut in areas that are so important. We spent $3.5 trillion in 10 years on that stuff. It is going to be that much more in the next ten. I thought it was a great idea when I came to Congress. I only been here a while and this is just the beginning of my second term. So I don't outrank anyone, but our acting chairman there.

But I thought I had a great idea about some demonstration schools. We cut it down from five to four. We thought we would have them in four parts of the country. We were asking for about $10 or $12 million over a four-year period for four schools in four regions of the country. I was chastised by the leadership. "Don't you know? How can we afford $12 million for some idea you have for a four-year period in four parts of the country. Don't you know we've got a budget problem?"

So that was the extent of my creativity, but it doesn't make sense. Perhaps the only question is: How will we change the imbalance of minority students with the merging together, which is then under-funding these programs that are supposed to improve the situation, and yet we hear that there are so few Ph.D.'s in math.

Then, even on top of that in your department, we have a fellow that comes up to say that the Fiesta Bowl couldn't give $100,000 to Louisville, because they just could not give money for minority students only because that violates the Civil Rights Act of 1965, which I am still trying to understand. But that is for another day.

Where are we going? How do you see education for minorities in the future? Do you see it improving? Or do you think it will decline under the current circumstances?

Mr. **Childers.** Congressman, it is one of the major concerns we have and one of the major areas we are attempting to focus on at all levels in the department, not just in graduate education. The Office of Higher Education has programs that now reach down to the 7th and 8th grades to try to get minorities and under-represented people more interested in completing high school. That is a key factor right there. We will have no college students in the future if they don't ever get out of high school. That is a particular problem for Hispanic Americans and African-Americans and others.

I administer in the Office of Higher Education Programs the programs in the department specifically designed to get minorities into undergraduate and then into graduate school in the higher education through a variety of programs. It is one of our highest priorities.

Specifically, on the graduate area, I would note that a number of the graduate programs right now have no affirmative mandate to seek out under-represented groups of minorities in graduate education. For example, the Harris program, of course, does. But the graduate assistance in areas of national need says that universities shall seek, but that is all.

The Javits program is silent on the subject.

Our proposal from the administration would be to apply uniformly through this to seek groups traditionally under-represented in graduate education to the maximum extent feasible. In other words, there would be an affirmative mandate on all of these graduate fellowships that groups traditionally under-represented, be actively sought and awarded fellowships. So that is another factor, I think, that would indicate that we would like these programs to serve more traditionally under-represented students. But it can't just be in these smaller graduate programs; it has to be in all the programs across the department at all levels.

I think that is what Secretary Alexander realizes in the K through 12 area. That is where he is putting a great deal of focus, because we will have no graduate or undergraduate students, particularly, from population groups you are concerned about unless we start at the elementary-secondary level as well.

Chairman FORD. Would the gentleman yield to me at that point?

Mr. PAYNE. Yes.

Chairman FORD. John, that explanation of the administration's position is about as schizophrenic as anything that has been said here for a while. You say that a very high priority is supporting graduate schools heretofore under-represented minorities. You just said that is number one.

Your testimony today says, "The department proposes to eliminate the assistance for training and legal profession program and the law school clinical experience program." These are the operative words. "We believe that the training of highly qualified students in fields of study critical to the Nation's well-being should have priority over programs addressing need only in a single professional field of study."

Who is it that we are going to cut out of this program? Assistance for training and legal profession—I am not reading from the statute. "The Secretary is authorized to make grants or enter into contracts as public and private agencies and organizations, other than institutions of higher education, for the purpose of assisting individuals from disadvantaged backgrounds as determined in accordance with the criteria prescribed by the Secretary to undertake training for the legal profession."

All right. The purpose of that Act, when we enacted it, was to provide from the pool of disadvantaged people in this country a group of people who could seek successfully a legal education on the assumption that a large number of them would be motivated to return from whence they came and help the people who need it most.

It is always, as Mr. Reed said before he left, been a bone of contention between members of this Committee and several administrations about whether poor people ought to have a lawyer. We have argued that they should. During the Nixon administration, it was a Republican on this Committee, who came up with the gimmick of creating the Legal Services Corporation to get legal services away from the poverty program, which Howard Phillips was hired to assassinate early in the Nixon administration.

To save that program, we adopted a proposal by a Republican from Wisconsin that became the Legal Services Corporation. Over many years, it has been the absolute maximum return to us in terms of doing something practical to get poor people out of the streets and into the courts to settle their grievances. Yet, the administration characterizes that program as a program that is not, obviously, critical to the Nation's well-being.

I suggest to you that you have exposed here one of the very basic philosophical differences between what you have been asked to bring us and what I suspect the majority of this Committee, on both sides, is going to accept. CLEO, as it is called, is going to testify on the next panel. They can defend themselves. But perhaps somebody didn't warn you over there that the Chairman of this Committee is a lawyer and takes a little umbrage at academics who think that lawyers are some kind of second-class citizens.

I am not a rich lawyer—although I was well on my way to being one until I was diverted to public service. Academics are not the only underpaid people in this country. There are a lot of us in this Congress who could make as much a month as we make in a year.

But I take umbrage. So I sit up and take notice when you go after the lawyers. When I looked at that, it caused me to go back into my mind and say, "When did we do this and why?" So then the staff gives me the statute and I am reminded why. It was contemporaneous with trying to save legal services. It was to provide a supply of people, who, when they finished their law education, would not be headed for general counsel of General Motors, but would be headed out there into the police courts to defend poor people and headed out there into the legal services programs to tell poor people what their rights were under leases, rental agreements and all kinds of mundane sort of things that are complete mysteries in our society to people in the lower socioeconomic class of this still very class-conscious system.

I think it is very important that Mr. Towns elicited from you what he did about the priorities. I submit to you, without attributing to you any suggestion of hypocrisy, that if it is not hypocritical by the administration to say that a number one priority is better involvement by people heretofore under-represented in higher education, and then give us a proposal that goes in exactly the opposite direction—if it is not hypocritical; it is at least schizophrenic.

I thank the gentleman from New Jersey.

Mr. PAYNE. Thank you very much.

I really don't have any additional statements or comments, but I do feel that the basic problem is simply under-funding if we are really going to take on this crisis in education with a great deal of interest. I just don't think the administration sees that it is important to many of us, especially to me as a former teacher, I just can't understand why our priorities are not where they ought to be. I don't feel that education is funded highly enough.

I think that our future is tied up in how we are preparing our young people. They are not being prepared properly. We will respond to emergencies when we have to. As we indicated, we spent a billion dollars a day at the height of the Persian Gulf situation. But if we talk about really true funding for education, it is really going to get to the point where we talk about student loan defaults, which really tend to put a negative connotation on a young person as they move through life, because many of them are grappling with the whole question of repaying student loans.

We see that there is a disproportionate increase in the number of defaults in student loans, which is a direct proportion to the decrease in the amount of student grants and the increase in making loan programs back in the early 1980s from grant programs.

There were a tremendous amount of successful persons in this country around the 1950's because they had the GI Bill of Rights, which basically paid for everything. So you didn't have any defaults. They all were successful, they started out, moved up, left towns—those who were allowed in. They were very successful people.

We strap our young folks today with the student loan, and it plagues them and follows them through their lifetime. I am not surprised that you have the increase of student loans to the proportion that they are today; because if you look at, the reauthorization when in the late 1970s, early 1980s, you started to change grant programs to loan programs, the number of defaults is the decrease in grants. I mean you don't have to be a mathematician.

Anyway, it is just the frustration of not having education as a priority, and I don't think we are going anywhere with the reauthorization, unless there will be some significant changes. Unfortunately, I don't see it in the reauthorization yet. Those are simply comments.

Yes, Mr. Morris.

Mr. **Morris**. When you are finished, I just wanted to—I am going to accept the challenge of the chairperson to give him some data. I just wanted to share it with you. You said, for instance, in our export of American education, that our international or foreign students were over here paying a tuition. I am going to point out to you that that is not true, that an African-American graduate doctoral fellow will be three to ten times more likely to be paying that tuition than an international student.

Now, the point is not that there is something wrong with the international students. The point is that we are not providing the kinds of financial incentives to our own. I will share that with you. From those who have actually gotten degrees in 1989.

Mr. **Pollitt**. Could I make a follow-up comment, too.

Mr. **Payne**. Yes.

Mr. **Pollitt**. It is on the same line as Dr. Morris'. I think I heard him in the question you asked, and also in your earlier dialogue with Mr. Ford, the assumption that foreign students who were admitted especially in the sciences are paying large amounts of tuition. I think there is an underlying mercenary motive. I know that is certainly not true at my institution. I doubt that it is at others.

Most of the foreign students, in fact, are supported by us with our own fellowship money or with faculty research grants. Particularly from the Far East, very, very few pay anything at all. So our motivation in having as many foreign students as we do in engineering, for example, where at my institution, it is over 50 percent, may be demented, but it is not mercenary.

I think there is a problem. I think that we should start thinking about the balance and how we want to allocate those resources. We may not be doing what is in our national interest or even in our institutional interest. But we are not doing it just to make money. At least, that is really true, I believe, in all of our cases.

Mr. **Morris**. I guess one follow-up or another important point—I am sorry Mr. Gunderson isn't here to say it—that relates to the need for part-time students. One of the things that I found with many African-American students and my graduate students who are part-time is the fact that because we are in a high-cost area, in Baltimore—I just had a study that shows what it costs for poor people to live there and the lack of available housing—so, increasingly, American students, especially who have any family obligations.

And if you have high, very high loan, undergraduate loan obligations, have to work for a part-time over even graduate assistantships. Our graduate assistantships are up to $4,000 now. Some of these—these are, of course, the nonFederal ones. That we are not supporting graduate education at a level that is either capable of providing the means necessary to support American students in graduate education. I am not just talking about Federal funds.

So that is why this commission to really look at graduate education is really an important kind of concern. We are faced—we are all told, maybe, maybe everyone else—we are told that we are faced with the constraints of really looking incrementally what happens. That is how the budgeting process works.

But there is a real need for a radical overhaul. There really is. I would hope that as an authorizing committee at one time, that you might accept both. Don't throw out the limited amounts of the inadequate programs that we have, but recognize that there is a need. I will submit in writing some of these other kinds of recommendations.

Mr. **Payne**. Thank you very much.

Yes?

Ms. **Shanner**. I would just like to add on to Dr. Morris' comments that the situation for people who have families, which interferes sometimes with graduate studies, that is a particular concern for women in higher education who still shoulder most of the responsibility for raising children.

So if there is any draw on graduate students' abilities to work, women would very likely be more affected than men. If our goal is to increase women in higher education, we need to address child care issues as well. So I think a radical overhaul may be necessary on broader issues than just education to effect this.

Mr. **Payne**. Thank you. Thank you very much.

Mr. **Andrews**. Thank you, Mr. Payne.

One question for Mr. Childers. I have two concerns when I read the administration's proposals as outlined in your testimony. One is that the administration identifies the problem of insufficient numbers of American students getting graduate degrees. But then, as the Chairman said earlier, it seems that these proposals speak only toward maximizing existing resources by making the programs run more efficiently, which is laudable, but doesn't even address the issue of finding ways to expand the resources; and not necessarily ways of expanding the resources by spending more Federal money.

There is no consideration, for example, of incentive programs that would have private employers and corporations become more actively involved in financing graduate education. There appears to be no consideration of linking a national service concept with higher availability of graduate education.

For example, I represent the City of Camden, New Jersey. It is very much like the City of Newark, New Jersey represented by Mr. Payne. The AIDS crisis is qualitatively worse in our cities than it is in other places. We have empirical data, which would suggest to us that broader access to health education will significantly reduce the number of AIDS cases; which then, in turn, significantly reduced Medicaid outlays for persons with AIDS.

What I would like the department to think about is why doesn't it make sense for us to invest some more dollars in graduate education so people go into the medical fields and healthy education in exchange for a commitment that they will work in and be employed by agencies that do health education in places like Camden, New Jersey and Newark, New Jersey, with the idea being that we can help fund the expansion of the availability of graduate education through the cost savings and other offsetting areas. So I would like you to respond to that, but let me make the second point. Then I will permit you to respond.

The second point is that on page 67 of your testimony, you talk about the new consolidated national graduate fellowships program would allow the Secretary on a periodic basis the fields of study for which applications would be solicited. These fields could include any fields supported by the department's current fellowship programs.

I think the debate that we have heard over the law school clinic experience is an excellent argument against this delegation of authority to the secretary to determine which fields the scholarship funds go to. Clearly, there are some of us here who believe that a continuation of the law school clinic experience is in the National interest. And there are some of us, I am sure, who do not.

Why is it that the Secretary should make that decision in his or her discretion, and not the elected representatives on this Committee and the rest of the Congress?

Mr. CHILDERS. Two thoughts, Congressman. On your first point about health activities, the department really doesn't support specific programs that are health-related. That is more within the purview of the Department of Health and Human Services, other than we have generic loan programs. But our specific graduate programs focus are not in the medical areas.

We do have other programs. I certainly agree that we want to focus more on involvement of others, including the business community, in general. We do have other programs in which we do try to involve business community and others in the community. I think that should be looked at in all of our programs to see where we can better and more involve other people in our activities.

Mr. **Andrews**. But that is not an area that is addressed in this bill. Is that correct?

Mr. **Childers**. No. That is not addressed in this bill. As to the flexibility given to the Secretary to deal with these matters, we have had—it has been interesting this morning. I thought at times that one or two people thought that this might enable the Secretary to narrow the focus of fields that would be supported.

One or two others seemed to think that it might broaden it beyond the most vital areas of national need. It is an attempt to give the secretary in consultation, as we did last year with the graduate areas of national need program, to consult with other cabinet agencies, with the Congress, with institutions of higher education, as to where the department should focus its limited resources in the most important ways. That is the proposal. It is a method to enable limited resources to go to important national areas.

Mr. **Andrews**. I appreciate that. I guess I would just note that the more recent history of the department's efforts in implementing the 1986 Act certainly gives rise to some skepticism as to what is going to happen. A grant of broader discretion, I always interpret as saying, well, you have done—not you personally—but the department has done a good job taking the authority it has been given for the last 5 years. Now, we want to let you have more flexibility within that.

There is a lot to argue the opposite is true. The failure to establish the National data bank being the most persuasive example. I mean it is more of a rhetorical question than anything else. Why should we vest the Secretary with more flexibility to make these substantive decisions not only about the fields of study for which these dollars will provide opportunity, but also the relative rank and priority of outreach efforts to the under-represented, to minorities and women? Because I understand that there is an across-the-board standard, but that is a standard that is now in the mix.

Instead of having a separate program whose statutory purpose is to go out and broaden opportunity, we will now have a general program. One of the guiding principles of that will be outreach to those who are underrepresented. But that vests the Secretary with flexibility that I think some of us feel is inappropriate. Why should we place that trust?

Mr. **Childers**. I think if you look at the more recent history of higher education in the last few months, I think you are going to see a tremendously high energy level coming out of the department. I think Secretary Alexander has these concerns that have been expressed this morning very much at heart. He is going to make a very energetic effort to address them. I think you are going to see a tremendously changed department. The energy level is already much higher. Regulations are going to get promulgated in a timely fashion.

Mr. **Andrews**. I would share that conclusion, having had the privilege in meeting the Secretary and having him here. I guess my comment is less an observation about the present incumbent than it is some concerns about the institutional arrangement. None of us knows that Secretary Alexander would be here at the end of the authorization cycle. We all presume it will be a Secretary appointed by a Democratic president, for example. But there is something in the water here, obviously. At any rate, that was the purpose of my observation.

Mr. **Coleman**. Could I end on a little more positive note?

Mr. **Andrews**. Certainly a more realistic one, probably, too.

Mr. **Coleman**. I think we have kind of ganged up a bit on Mr. Childers today. I guess I didn't pile on. I was one of the first ones to question him. I commennd the Bush Administration because we had to fight—I say this as a Republican—I had to fight the Reagan Administration every step of the way to get any funding for what is now the largest expenditure in Title IX, the National need program.

We got some. They wanted to zero it out. We fought that. But this administration came forward with their request to fully fund as much as they could to get the program moving at $25 million. I want to commend them. I think their heart is in the right place. If they want to make some suggestions that we don't want to enact into law, that's fine.

I think there are some suggestions they made, that we talked about, that we probably can adopt, but as far as the structure goes, that is important. I think the desire is there because they put their bucks in their budget. That is the bottom line around here. I want that to be said.

Mr. **Andrews**. We thank the gentleman.

We thank the panel for this very important contribution.

Just to touch on one of the Chairman's earlier point, that you were invited to submit further material to elaborate on any of your answers to any of today's questions. We thank you for your participation.

The second panel includes Dr. Thomas Cole, President of Clark-Atlanta University in Atlanta, Georgia; Dr. Richard Hope, Vice President and Director for Minority Advancement of the Woodrow Wilson National Fellowship Foundation in Princeton, New Jersey; Ms. Denise Purdie, Executive Director on the Council on Legal Education Opportunity in Washington, DC; and Ms. Betsy Levin, Executive Vice President of the Association of American Law Schools in Washington, DC.

I note that Dr. Hope is accompanied by Robert Goheen, former President of Princeton University, Director of the Mellon Fellowships in Humanities of the Woodrow Wilson National Fellowship Foundation.

We welcome you to the Committee. I would note that copies of your written statements have been distributed to the members of the subcommittee. Without objection, it is ordered that those are made a part of the permanent record of these proceedings. We would invite you to highlight and summarize your written comments, so that we may proceed to a questions and answers.

We'll begin with Ms. Levin. Did I pronounce your name correctly?

Ms. **Levin**. You are one of the few people, Mr. Congressman, who has. Thank you.

Mr. **Andrews**. Well, I practiced it at home before this. Thank you.

Ms. Levin.

Ms. **Levin**. I appreciate it.

STATEMENT OF BETSY LEVIN, EXECUTIVE VICE PRESIDENT OF THE ASSOCIATION OF AMERICAN LAW SCHOOLS IN WASHINGTON, DC

Ms. **Levin**. I am Betsy Levin, Executive Vice President of the Association of American Law Schools. I am the former dean of the University of Colorado, School of Law. On behalf of our association, I want to thank this committee for the opportunity to submit our recommendations concerning the reauthorization of the Higher Education Act.

I will speak specifically to the three programs currently contained in Title IX. As the first general counsel of the Education Department, I can't resist commenting on Secretary Childers' testimony. I certainly share his concern for ease of administration of programs with a small staff. I am sure, when I first came in as general counsel, we had an even smaller staff.

But the important thing about the Federal dollars, it seems to me, is that as limited as they are, they get their impact from targeting, not from consolidation. We would like to focus on that and emphasize that.

Another concern that we have about consolidation and allowing the department to decide which are areas of high priority is the lack of stability for students who will not know from one year to the next when an area will be funded by the government. If they are to plan and think about careers back when they are undergraduates, they need to know that there is some source, of funding for graduate education, particularly when they are low-income, minority, disadvantaged students.

As I develop more fully in my written testimony, we as a society need to insure that we provide not only access, but choice for postbaccalaureate education for all those that desire it and are qualified for it. But we have to make special efforts to address the groups who have been significantly under-represented in graduate and in professional education.

Speaking specifically of the legal profession now, it is essential that we have a more diverse legal profession to represent what is becoming an increasingly diverse society with increasingly complex needs. The Federal role in this area has been particularly important. It is even more critical today than it has been in the past.

Let me state at the outset that the Association of American Law Schools strongly supports reauthorization of the three programs contained in Title IX that affect legal education. Each of these programs, though relatively modest in terms of dollars, is of great importance to legal education, and, in particular, to students from groups under-represented in legal education and the legal profession.

I would like to say a few words about the law school clinical experience program that was discussed a bit earlier this morning. This program provides funds to law schools. It is not a financial aid or fellowship program, as the others are, but enables students to gain experience as professionals under intensive faculty supervision.

A statement has been submitted to this subcommittee from the dean of American University law school describing from his school's perspective what the clinical experience program has enabled law schools to do. It helps develop more competent, more ethical practitioners, and the Federal Government has helped to make those programs available to a larger number of students.

It is an invaluable part of the student's training, not unlike the clinical experiences that medical students receive. The Federal program has been particularly valuable in helping initiate new, experimental clinics and helping the law schools expand those clinics that they would not otherwise be able to do.

Just to give you an example: In many of these cases, the experimental clinics have been started by the Federal program and then are fully funded by the law school when it becomes more entrenched and is less experimental. A statement that has been submitted to this subcommittee by the dean of Georgetown University Law Center pointed out that with the Title IX funds through the clinical program, an experimental program was begun that deals with the victims of spousal abuse. The clinicis now the major provider for victims in the District of Columbia. So, cotrary to what Mr. Childers said, it is not just funding experiences for corporate lawyers.

The law school of American University also started the first program that focused on training students to deal with veterans issues, primarily representing disabled veterans before the Veterans Appeal Board. For a long time, the faculty and students of the school were the only ones representing these veterans.

A small, new tax clinic has been started—and I am just giving you these as illustrations—where students represent working people with regard to very small amounts of money before the Tax Court who, otherwise, would not be represented at all. Those are the people whose needs have not been met. We hope that we are training a broader group of students, a more diverse group of students, to meet those needs.

Although Denise Purdie, who is the Executive Director of CLEO which administers the Assistance for Training in the Legal Profession Program will testify, I want to say something about the program from our perspective, representing the law schools that participate in it. I can speak not only as the executive director of the Association of American Law Schools, but also as a former dean of the University of Colorado, about how important that program was.

It has had a significant impact on the number of persons from disadvantaged backgrounds, particularly minorities, entering legal education and ultimately the legal profession. Through this program, over 5,000 minority and disadvantaged students have been helped to complete law school in the 22 years that CLEO has existed.

I think it is important to note that the law schools themselves absorb more than half the cost of the summer institute programs, plus provide additional funds to support the students when they are entering law school, in addition to the small stipend that comes from the Federal Government. So if one looks at the amount of money generated, it is really almost a three to one ratio, the Federal Government has stimulated the law schools to reach out to minority and disadvantaged that they otherwise would not have been able to do.

The regional institutes for which recruitment takes place nationwide enable law schools to have access to and to evaluate the potential of minority and disadvantaged students that they otherwise would not have a means of evaluating. This has been very important. We are concerned that the department has decided to eliminate the program.

The department's earlier position was to balkanize it, so it would diminish its effectiveness, making it a fellowship program only. It is not simply a fellowship program, although it does provide some stipends to students to assist them when they are in law school.

But the important thing is that it helps prepare them for legal education, and it helps evaluate their potential, which does not show up in the traditional indicators of performances to determine whether they were being overlooked. The law schools as individual schools do not have a way of doing this. We need a national federally-funded program that will allow this to be done.

Although it was earlier pointed out by Secretary Childers in response to Congressman Ford, that there was no dearth of applications for law schools, there is a dearth of minorities and low-income people in the profession and in legal education, and certainly, of minority law teachers. If we cannot get them to law school through some of these programs, we cannot have them on the faculty. And you do not have role models. You do not have people with diverse perspectives training the people who have to go out and serve a diverse population.

With regard to the Patricia Robert Harris Fellowship program, it is ironic that the department has made special efforts, which they then retracted, to limit it to Ph.D. candidates by setting that as a priority that would exclude law students. I say it is ironic because Patricia Roberts Harris was a lawyer, and at one time, was the dean of Howard University law school. To have this program exclude minorities, low-income, and women from legal education is indeed ironic.

It is a small program. In fiscal year 1990, only 31 out of 218 of the new Harris fellowships went to law students. That is 14 percent. But I think the statement submitted by Assistant Dean Chaim at McGeorge School of Law illustrates the tremendous impact of the program. I hope that the members of the subcommittee will take an opportunity to look at the first few pages of the Exhibit that he has attached to his testimony, which lists the individual students who have received Patricia Roberts Harris fellowships at McGeorge and where they have gone on from that; what they have done with that opportunity. In many cases, they have gone on to public service, serving in the state attorney general's office, serving as public defender, serving in Legal Aid. All have gone on to have very successful and significant careers.

So I think that, again, the Federal Government's impact is not only in making available fellowships generally, but in targeting areas that are important to our society as a whole.

We urge that the legislation for this program be strengthened by providing assurance that the priorities that are currently in the statute are the only priorities, so that it is not able to be shifted as the Secretary of Education attempted to do last fall.

In my written testimony, we have commented on other parts of the Higher Education Act, but I assume that there will be an opportunity at some other time to comment further on those areas. I want to thank the subcommittee very much for affording the Association of American Law Schools this opportunity to testify and provide our comments.

[The prepared statement of Betsy Levin follows:]

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STATEMENT OF

BETSY LEVIN, EXECUTIVE VICE PRESIDENT ASSOCIATION OF AMERICAN LAW SCHOOLS

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION
COMMITTEE ON EDUCATION AND LABOR

OF THE

UNITED STATES HOUSE OF REPRESENTATIVES

CONCERNING

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

JUNE 13, 1991

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STATEMENT OF BETSY LEVIN ON BEHALF OF THE ASSOCIATION OF AMERICAN LAW SCHOOLS CONCERNING THE HIGHER EDUCATION ACT

Mr. Chairman and Members of the Subcommittee:

I am Betsy Levin, Executive Vice President of the Association of American Law Schools and former dean of the University of Colorado School of Law. I am testifying today on behalf of the Association of American Law Schools.

The Association of American Law Schools (AALS) appreciates the opportunity to submit its recommendations concerning the reauthorization of the Higher Education Act of 1965 and, in particular, with regard to the role of the federal government in graduate and professional education. These recommendations were developed in consultation with and are shared by the American Bar Association (ABA) and the Law School Admission Council (LSAC). Together, our three organizations represent 176 accredited law schools throughout the United States and over 127,000 students enrolled in these institutions, as well as thousands of law school applicants.

Legal education serves a national need as well as providing opportunities for individuals, and the federal government must play a critical role in its support. Our society has become increasingly complex: it is in the process of undergoing great changes, trying to cope with complicated social and political problems about which there are conflicting views. In the past 30 years, we have vastly extended the civil rights of Americans in areas such as education, housing, employment, and voting. We regulate businesses in a variety of areas hitherto untouched, including the safety of their products and the extent to which they are permitted to impact adversely on the environment. Thus the law operates in a society that is no longer simple and where we cannot easily reach a consensus on clear, simple rules. The very nature of a federal system of government adds to this complexity. The tension created by our overlapping systems of federal, state, and local laws and regulations is a necessary tension, despite the fact that it results in jurisdictional and procedural complexities. It is important that those who negotiate this complex legal system on behalf of their fellow citizens, helping to bring order to and regulate our social and political system, represent the entire spectrum of our society and not just the privileged few. Lawyers play an important role in making our very complex society work better. Lawyers also play a role in ensuring that the many levels of government that have power over the lives of individuals act in a fair and impartial manner rather than arbitrarily. We must be able to attract the best people to enter the legal profession without regard to their financial ability, and we must develop a more diverse profession to represent more adequately the needs of an increasingly diverse society.

The AALS believes the federal role in higher education is essential. Without federal student financial assistance, graduate and professional education would be beyond the means of many students. The Higher Education Act of 1965, and its subsequent amendments, has enabled millions of Americans to have opportunities that otherwise would not have been available and that, in turn, have greatly benefitted all aspects of our society. Some changes in the existing structure of federal support are, however, desirable. The changes that we hope Congress will consider would involve only modest costs to the federal fisc, but would be greatly beneficial to achieving these goals.

On behalf of the Association of American Law Schools, I would like to express our strong support for reauthorization of three programs contained in Title IX of the Higher Education Act. These programs, though relatively modest in terms of dollars, are of great importance to legal education and, in particular, to those students from groups underrepresented in legal education and the legal profession. We strongly hope that the reauthorization of the Higher Education Act will renew the federal commitment to assuring access and choice for all.

Although we have been asked to comment on the programs relating to legal education contained in Title IX of the Higher Education Act, the Association shares the concern that federal student aid at the undergraduate as well as the graduate level has seriously eroded in recent years. The erosion in federal student aid has led to greatly increased indebtedness at the undergraduate level which, in turn, impacts adversely on the decision to pursue graduate and professional education. This is especially true for low-income and minority students who are significantly underrepresented in these areas. We are also concerned that the increasingly high debt burden accumulated by most graduate and professional students who do complete the program has a substantial effect on their career decisions following graduation. This is of particular concern within the legal profession. The reauthorization of the Higher Education Act should be an opportunity to address these concerns as well as others. A summary of our recommendations follows.

Summary of Recommendations:

(1) We support retention of and reasonable increases in the authorization levels of the Law School Clinical Experience Program, Title IX, Graduate Programs, Part F.

(2) We support retention of and reasonable increases in the authorization levels of the Assistance for Training in the Legal Profession (ATLP) Program, administered by the Council on Legal Education Opportunity (CLEO), Title IX, Graduate Programs, Part E. We also support clarification of the intent of the legislation that the ATLP Program is intended to assist individuals from disadvantaged backgrounds, including students from minority groups under-represented in the legal profession; that the program be national in character; and that potential grantees be representative of both the practicing bar and legal education.

(3) We support retention of and reasonable increases in the authorization levels of the Patricia Roberts Harris Fellowships, Title IX, Graduate Programs, Part B, and assurance in the legislation that the two priorities currently in the statute remain the only priorities in the award of these fellowships.

(4) Although not part of Title IX, we also support increases in the annual loan limits (and concomitant increases in the cumulative borrowing limits) for Stafford Loans.

(5) Finally, we support the adoption of provisions that would make all education loans (private in origin as well as federal) non-dischargeable in bankruptcy in order to enable private interest rates and insurance fees to be set as low as possible.

(1) The Law School Clinical Experience Programs. Although the Law School Clinical Experience program, Title IX, Graduate Programs, Part F, does not provide financial aid directly to students, it provides funds to law schools to enable students to gain experience as professionals prior to graduation and under intensive faculty supervision, not unlike the clinical experiences medical students receive. It is an invaluable part of the student's training, helping to ensure that he or she is equipped to provide high quality legal services to the public upon graduation. Clinical programs give students hands-on experience in interviewing, counseling, drafting, negotiation, and pre-trial and trial procedure; develop a sense of professional responsibility and an understanding of and appreciation for competence in client representation; and often

furnish an essential public service by providing legal services for the poor. Clinical programs complement and reinforce the theory that is learned in the classroom.
The significant changes in the practice of law that have occurred in the last decade or so require expansion and improvement of law school clinical programs; federal support is an essential contribution to this process, and should be expanded.

The current authorization limits the amount any single law school can receive in any fiscal year. This should be raised to at least $250,000 to reflect the significant increase in the cost of a basic live-client clinic operation over the past 14 years. In addition, law schools cannot afford to create new or expand existing clinical programs each and every year under Title IX. The authorizing language should be revised to permit schools to continue good programs as well.

(2) Assistance for Training in the Legal Profession Program. The Assistance for Training in the Legal Profession Program, Title IX, Graduate Programs, Part E, is a modest program that has had a significant impact on the number of persons from disadvantaged backgrounds entering legal education and ultimately the legal profession. This program has proven to be an extremely important vehicle for preparing disadvantaged students, particularly minorities, for law school and assuring that they have an opportunity to obtain a legal education. The program originated in 1968, when the Association of American Law Schools joined with other organizations representing legal education and the legal profession to create the Council on Legal Education Opportunity (CLEO) to address the problem of underrepresentation of minorities and other disadvantaged persons in the legal profession. In 1972, the Higher Education Act was amended and this program was incorporated in Title IX.

In 1968, when CLEO was established, only 1% of the nation's lawyers were members of minority groups. Today, while that figure has increased somewhat (to about 6%), the number is still far too low. Without the help of this program, however, the number of minorities and low-income persons practicing law would be far lower. In 1968, the percentage of minorities making up the law school student body nationally was only 4.6%. By the fall of 1990, the percentage of minorities had increased to 14%. In its twenty-two year existence, the CLEO program has helped over 5,000 minority and disadvantaged students complete law school. The Association continues to support and endorse this program because of its value to the nation, the legal profession, and the minority and disadvantaged groups it serves.

The present program, as operated by CLEO, has two central components of direct service to students -- summer institutes for prospective law students and annual fellowships for those graduates of the summer institutes that attend law school. The stipends of students who are in law school must be increased to keep pace with increases in the cost of legal education, meaning that an increase in the reauthorization levels is essential. It is important to note that the law schools themselves absorb more than half of the cost of the summer institutes, both through cash contributions and through the contribution of the services of faculty and teaching assistants.

Since the Assistance for Training in the Legal Profession program was developed and is intended to assist individuals from disadvantaged backgrounds, including students from minority groups under-represented in the legal profession, the authorizing legislation should reaffirm that commitment by using the underscored language.

The heart of the CLEO program is the summer institutes which provide an opportunity for those who might not otherwise be admitted to law school to demonstrate that they are prepared for the graduate study of law. One of the great strengths of the CLEO program is that the program is consistent nationally, operated with a reasonably consistent curriculum, under reasonably uniform standards, and draws on a national pool of students that can be placed at law schools across the country. Thus, law school admissions committees can make decisions based upon an applicant's experience in a summer institute without significant uncertainty as to whether the standards and training of one summer institute are likely to be similar to that of another. It is extremely important that the programs conducted under awards from the Assistance for Training in the Legal Profession Program be consistent across the country, and important that they be coordinated by an organization that is familiar with, and representative of, legal education and the legal profession.

It is also important that the program be recognized not as a program the primary purpose of which is to provide financial assistance to individuals who would have no problem in being accepted by law schools, but who might not be able to attend because of inadequate funds. Rather, it is a program that evaluates and prepares students who otherwise might not be accepted at a law school, but in spite of their disadvantaged background, may have the potential for success in law school. Thus, unlike other grant programs, this program has always envisioned aggressive recruitment of "individuals from disadvantaged backgrounds for training for the legal profession," post-summer institute placement of students in law schools, and the provision of the necessary academic as well as financial support to enable them to succeed in law school.

(3) The Patricia Roberts Harris Fellowships Program. Unlike the Law School Clinical Experience and the Assistance for Training in the Legal Professions programs, the Patricia Roberts

Harris Fellowships Program, Title IX, Graduate Programs, Part B, is far from exclusive to legal education. Nevertheless, it has been an important source of grants to aid minority and disadvantaged students to attend law school. AALS has long been concerned with the very small number of minority faculty. Unless minorities are assisted to attend law school, there will continue to be a very limited pool from which to select faculty members. Although the percentage of minority faculty has increased from less than 6% in 1981 to nearly 9% in 1990, law schools have a long way to go. The educational objectives of a minority presence in law school -- both student and faculty -- encompass more than increased understanding of minority groups. There is also a need to increase effective communication across racial and ethnic lines. Thus all the reasons that one could outline emphasizing the importance of increasing representation of minorities in law school student bodies apply with even more force to increasing the number of minority teachers in the law schools. A minority teacher brings a perspective and a presence to the classroom that cannot be acquired by any other means.

The authorizing legislation for this program currently contains two priorities: for individuals who plan to pursue a career in public service, and for individuals "who demonstrate financial need and are from groups traditionally underrepresented in graduate and professional study areas." The legislation should prevent the creation of other competitive preference priorities that would undermine these two objectives and effectively eliminate professional students from program eligibility as the Secretary of Education proposed last fall.

While it may appear at the outset that there is some overlapping between the ATLP and Harris programs, that is not actually the case. The ATLP Program is designed to prepare minority and disadvantaged applicants for the legal education experience. The Harris Program, on the other hand, is designed to support well-qualified law students from underrepresented segments of society who have substantial financial need during their legal education.

(4) The Annual Stafford Loan Limit. Although graduate and professional students bear the primary responsibility for paying the cost of their education and related costs, it is important that the federal government bear the principal responsibility for closing the gap between the tuition and fees, living expenses, books, equipment, and related costs, and the amount that students can pay. Although appropriations for student aid generally -- undergraduate as well as graduate and professional -- have increased substantially, the value of student benefits has sharply eroded. Increasing the annual Stafford loan limit to $10,000 would involve only modest costs to the federal fisc, but would be greatly beneficial to all graduate and professional students. A Stafford loan of $10,000

in 1992 will not purchase in terms of cost of attendance at graduate and professional schools what $7,500 purchased in 1987, assuming that the 9% growth rate in tuition and costs continues. We thus join with our colleagues who not only represent medical and dental education and the nation's graduate schools, but all of the major higher education organizations, in supporting an increase in the annual Stafford loan limit to $10,000 for graduate and professional students. In addition, we propose that the annual insurable limit be adjusted automatically to reflect inflation. We also support increasing the Supplemental Loans for Students (SLS) limit to $10,000.

(5) Loans Non-Dischargeable in Bankruptcy. The AALS, and its colleagues in legal education and the legal profession, support the adoption of provisions that would make all education loans (private in origin as well as federal, and for undergraduate as well as graduate and professional education) non-dischargeable in bankruptcy in order to enable private interest rates and insurance fees to be set as low as possible. Students who acquire a life-long valuable asset should be required to repay the costs of its acquisition out of the returns they earn in the future. Current bankruptcy rules, which do not embody this principle for all private loans, adversely affect their availability -- not only denying important educational opportunities to some, but also increasing the pressure on federally-funded programs.

In conclusion, on behalf of the Association of American Law Schools, I want to thank you for this opportunity to express our views on reauthorization of the Higher Education Act. We look forward to working with Congress and other interested parties to achieve our mutual goals.

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Mr. **Andrews**. Thank you very much.

We are going to next go to Dr. Cole, who I understand has a flight we are going to try to help him catch.

Dr. Cole, we'll ask for your testimony, and then if any members are here at that time, we'll ask you questions so you can be on your way.

Dr. Cole.

STATEMENT OF THOMAS W. COLE, JR., PH.D., PRESIDENT, CLARK ATLANTA UNIVERSITY, ON BEHALF OF THE UNITED NEGRO COLLEGE FUND

Mr. **Cole**. Thank you very much, Mr. Chairman.

I am here on behalf of the United Negro College Fund, its 41 member presidents and almost 50,000 students in our distinguished faculty and staff who are dedicated to academic excellence, access and success.

I am President of Clark Atlanta University which is an institution that you may not be too familiar with since it was just created 3 years ago by the consolidation of Clark College and Atlanta University, two historically black institutions, each of which is more than 120 years old.

I cite that reference because Clark Atlanta University and Howard University are really the only two private comprehensive historically black universities in this country that offer academic programs of study leading to the doctorate in several fields.

In all graduate programs in which we offer majors, and award doctorate degrees, between Clark Atlanta and Howard University, are about 10 percent of the Nation's total production of Ph.D.'s.

In the interest of time, I will only give highlight of my written testimony. A lot of information is provided, much of which was rehashed with some of the issues that were raised this morning. But we speak to the importance of a Pell Grant entitlement; reduction in the loan burden for undergraduate and graduate students.

But my message is really very simple. The colleges and universities in this country have done a dismal job when it comes to education and graduation of minorities at the graduate level, both master's and doctoral. You heard the statistics this morning, and I won't repeat them. What I will do is cite just one indication.

For African-Americans, the statistics are especially dismal. In one ten-year span from 1979 to 1989, the actual number of Ph.D.'s awarded to African-Americans declined by more than 23 percent. The only category of people in higher education for which that experienced such a precipitous decline.

There are many reasons for this, and many of which were part of the discussions with the earlier panel. I want to cite our interest in two programs that would be of interest to the United Negro College Fund—Patricia Roberts Harris fellowship program and the Ronald C. McNair post-baccalaureate achievement program.

We believe that one of the best methods to increase the number of African-Americans with Ph.D.'s is to both create a larger pool in undergraduate colleges and universities and increase Federal support for doctoral study. In that regard, I would like to make one recommendation to this subcommittee.

I am sorry Congressman Owens is not here. He was here earlier, and he has been very helpful and supportive of a program that I would like to recommend. It is called Program of Augustus F. Hawkins fellowships in honor of the former House Education and Labor Committee Chair, Augustus F. Hawkins.

Hawkins fellowships would be awarded to faculty from historically black colleges and universities and other African, Asian, Hispanic, and Native American Ph.D. candidates who agree to return to their host institution or any other associate baccalaureate degree granting institution with a significant minority enrollment, to teach for 2 years for each one year of fellowship assistance received.

The fellowship program would include the following basic elements: A $15,000 Federal fellowship for current historically black college and university, or tribally controlled Indian community college faculty, or minority faculty at other institutions with significant minority student enrollment; and minority baccalaureate degree holders, who are African-Americans or Asian Americans or Chinese, Japanese, or Korean, and so forth. It would also include Hispanic Americans and Native Americans.

Additionally, a required waiver of the graduate school's tuition by the receiving tuition, except in special circumstances would be coupled with the provision of an assistantship from that institution.

The third element would be the provision by the receiving institution of a minimum of a $2,000 stipend to the Hawkins fellow from the private noninstitutional sources, which would be a way of leveraging Federal dollars to get resources from the private sector.

The fourth element would be the requirement that the Hawkins fellow teach at his or her host institution after receiving the degree for at least 2 years for each year of fellowship assistance received.

Mr. Chairman, we are convinced of both the necessity and the efficiency of proceeding in this way to increase the representation of minority faculty who are in the professorate, but also to increase the number of minorities who obtain graduate and doctoral degrees. We will not only expand the reach of limited Federal dollars by matching them, as has been outlined, but we will also improve the student persistence.

Thank you.

[The prepared statement of Thomas W. Cole, Jr. follows:]

United Negro College Fund, Inc.

STATEMENT OF THOMAS W. COLE, JR., Ph.D.
PRESIDENT, CLARK ATLANTA UNIVERSITY

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION
HOUSE COMMITTEE ON EDUCATION AND LABOR

ON THE REAUTHORIZATION OF

THE HIGHER EDUCATION ACT OF 1965

ON BEHALF OF THE

THE UNITED NEGRO COLLEGE FUND, INC.

JUNE 13, 1991

GOOD MORNING MR. CHAIRMAN, MEMBERS OF THE SUBCOMMITTEE ON POSTSECONDARY EDUCATION. I AM THOMAS W. COLE, JR., PRESIDENT OF CLARK ATLANTA UNIVERSITY IN ATLANTA, GEORGIA. CLARK ATLANTA UNIVERSITY REPRESENTS THE CONSOLIDATION OF TWO PROUD HISTORICALLY BLACK INSTITUTIONS -- CLARK COLLEGE AND ATLANTA UNIVERSITY, EACH OF WHICH WAS MORE THAN 120 YEARS OLD. WE ARE PART OF A SIX INSTITUTION COMPLEX INCLUDING SPELMAN COLLEGE, MOREHOUSE COLLEGE, MORRIS BROWN COLLEGE, THE INTERDENOMINATIONAL THEOLOGICAL SEMINARY, THE MOREHOUSE SCHOOL OF MEDICINE WHICH COLLECTIVELY IS CALLED THE ATLANTA UNIVERSITY CENTER.

CLARK ATLANTA UNIVERSITY, CREATED ON JULY 1, 1988, IS A HISTORICALLY AFRICAN AMERICAN, PRIVATE, URBAN, COEDUCATIONAL INSTITUTION OF UNDERGRADUATE, GRADUATE AND PROFESSIONAL EDUCATION. CLARK ATLANTA UNIVERSITY INHERITS THE HISTORICAL MISSIONS AND ACHIEVEMENTS OF ITS TWO PARENT INSTITUTIONS, ATLANTA UNIVERSITY AND CLARK COLLEGE. FOUNDED IN 1865, ATLANTA UNIVERSITY IN 1929 BECAME AN EXCLUSIVELY GRADUATE AND PROFESSIONAL INSTITUTION, THE FIRST WITH A PREDOMINANTLY BLACK STUDENT BODY. FOUNDED IN 1869, CLARK COLLEGE WAS THE FIRST METHODIST AFFILIATED COLLEGE ESTABLISHED TO SERVE AFRICAN AMERICANS. EACH OF THESE SCHOOLS BEGAN MODESTLY BUT WITH FIRM COMMITMENT TO THE HIGHEST STANDARDS OF INTELLECTUAL AND RESPONSIBLE ACHIEVEMENT. THUS, BY 1888 CLARK COLLEGE HAD DEVELOPED THE INDEPENDENT GAMMON THEOLOGICAL SEMINARY, AND ATLANTA UNIVERSITY WAS PROVIDING BLACK TEACHERS AND LIBRARIANS THROUGH THE SOUTH. OVER THE YEARS THE PROGRAM OF CLARK COLLEGE EVOLVED FROM ONE WHICH CONCENTRATED ON TRAINING TEACHERS AND MINISTERS TO A DIVERSIFIED PANOPLY OF DISCIPLINES IN THE SOCIAL AND NATURAL SCIENCES AND THE ARTS AND HUMANITIES; ATLANTA UNIVERSITY DEVELOPED SCHOOLS OF EDUCATION, SOCIAL WORK, LIBRARY SCIENCE, AND BUSINESS ADMINISTRATION IN ADDITION TO THE SEVERAL DISCIPLINES OF THE SCHOOL OF ARTS AND SCIENCES.

CLARK ATLANTA UNIVERSITY INHERITS ALSO FIRM COMMITMENTS SHARED BY BOTH ITS PARENT INSTITUTIONS. ONE SUCH COMMITMENT IS TO CLOSE COOPERATION WITH ITS CONTIGUOUS SISTER INSTITUTIONS INT HE ATLANTA UNIVERSITY CENTER: MOREHOUSE COLLEGE, MORRIS BROWN COLLEGE, SPELMAN COLLEGE, THE INTERDENOMINATIONAL THEOLOGICAL SEMINARY, AND THE MOREHOUSE SCHOOL OF MEDICINE. ANOTHER CONTINUED COMMITMENT IS TO SERVING THE EDUCATIONAL NEEDS OF STUDENTS OF DIVERSE RACIAL, NATIONAL AND SOCIOECONOMIC BACKGROUNDS. NOT ONLY DOES CLARK ATLANTA UNIVERSITY CONTINUE THE SPECIAL CONCERN FOR STUDENTS FROM AFRICA, THE CARIBBEAN AND OTHER COUNTRIES OF THE THIRD WORLD, IT ALSO HAS A SPECIAL INTEREST IN DISCIPLINES RELATED TO DEVELOPMENT AND OTHER INTERNATIONAL AFFAIRS. ABOVE ALL, THERE IS THE CONTINUED COMMITMENT TO THE HIGHEST STANDARDS OF RESEARCH, TEACHING AND PUBLIC SERVICE DIRECTED TOWARD AMELIORATION OF THE INJUSTICES AND SUFFERING OF HUMANKIND.

I APPEAR TODAY ON BEHALF OF THE UNITED NEGRO COLLEGE FUND (UNCF), ITS 41 MEMBER PRESIDENTS, ALMOST 50,000 STUDENTS AND OUR DISTINGUISHED FACULTY AND STAFF WHO ARE DEDICATED TO ACADEMIC EXCELLENCE, ACCESS AND SUCCESS IN HIGHER EDUCATION, AND TO ASSISTING THE FEDERAL GOVERNMENT CARRY OUT ITS GOAL OF EQUAL OPPORTUNITY IN HIGHER EDUCATION.

UNCF MEMBER INSTITUTIONS HAVE TAKEN SERIOUSLY, OVER THE YEARS, THE FEDERAL GOVERNMENT'S STATED COMMITMENT TO EQUAL OPPORTUNITY IN HIGHER EDUCATION AND WE HAVE PROVIDED "ACCESS," "CHOICE," AND "QUALITY" TO BACCALAUREATE-DEGREE SEEKING YOUNG PEOPLE WITH THE INTEREST, DESIRE, AND ACADEMIC POTENTIAL TO SUCCEED IN COLLEGE. SIXTY-ONE PERCENT OF ALL UNCF STUDENTS RECEIVE PELL GRANTS, 33 PERCENT RECEIVE SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (SEOGs), 37 PERCENT RECEIVE COLLEGE WORK STUDY (CWS), AND 51 PERCENT RECEIVE STAFFORD (GUARANTEED STUDENT) LOANS, WITH MOST OF THEM RECEIVING MULTIPLE FORMS OF FEDERAL STUDENT AID AS WELL AS INSTITUTIONAL SUPPORT AND STATE GRANT ASSISTANCE. ALTOGETHER, 90 PERCENT OF UNCF STUDENTS RECEIVE FEDERAL STUDENT AID. THIS FEDERAL AID HAS SPURRED ENROLLMENTS AMONG TRADITIONAL COLLEGE AGE AFRICAN AMERICAN STUDENTS. DURING THE PAST FOUR YEARS, 31 OF OUR 41 MEMBER INSTITUTIONS HAVE EXPERIENCED ENROLLMENT GAINS AVERAGING 16 PERCENT -- AND THE SAME NUMBER REPORT TWO PERCENT INCREASES FOR AY 1989 OVER AY 1988.

IT IS THE 51 PERCENT FIGURE -- THE DRAMATIC GROWTH IN STUDENT BORROWING -- THAT MAKES THE SUBJECT OF TODAY'S HEARING SO CRITICAL. MY UNCF PRESIDENTIAL COLLEAGUES AND I, VIEW WITH ALARM AND TREPIDATION, THE FACT THAT THE NUMBER OF STUDENT BORROWERS IN THE GSL PROGRAM AT UNCF INSTITUTIONS HAS ALMOST DOUBLED FROM 11,000 IN 1982-83 TO ALMOST 22,000 IN 1988-89. INCREASINGLY, UNCF STUDENTS -- LIKE MANY OTHER LOW AND MIDDLE INCOME STUDENTS THROUGHOUT HIGHER EDUCATION -- ARE BECOMING INDENTURED SERVANTS, VIRTUAL SLAVES TO THE FEDERAL GOVERNMENT'S FAILURE TO KEEP FAITH WITH OUR NATIONAL COMMITMENT TO GRANT ASSISTANCE FOR LOW INCOME STUDENTS. THAT COMMITMENT WAS FIRST ARTICULATED BY PRESIDENT DWIGHT D. EISENHOWER (AND SINCE ECHOED BY EVERY PRESIDENT, BOTH REPUBLICAN AND DEMOCRAT, EXCEPT RONALD REAGAN), WHEN HE SUBMITTED THE NATIONAL DEFENSE EDUCATION ACT TO CONGRESS: "...WE MUST INCREASE OUR EFFORTS TO IDENTIFY AND EDUCATE MORE OF THE TALENT OF THE NATION. THIS REQUIRES PROGRAMS THAT WILL GIVE ASSURANCE THAT NO STUDENT OF ABILITY WILL BE DENIED AN OPPORTUNITY FOR HIGHER EDUCATION BECAUSE OF FINANCIAL NEED." SINCE THAT TIME EVERY PRESIDENT, EXCEPT RONALD REAGAN, HAS WORKED WITH CONGRESS TO PRESERVE AND ENHANCE "ACCESS" AND SOME MEASURE OF "CHOICE" IN HIGHER EDUCATION.

THIS BURGEONING LOAN INDEBTEDNESS NOT ONLY ADVERSELY AFFECTS ACCESS TO COLLEGE AND COLLEGE PERSISTENCE, BUT IT ALSO AFFECTS CAREER CHOICE. IT IS THIS ADVERSE IMPACT ON CAREER CHOICE THAT LINKS THE NEED FOR A PELL GRANT ENTITLEMENT -- AND LESS RELIANCE ON STUDENT BORROWING TO FINANCE A BACCALAUREATE DEGREE -- TO THE SUBJECT MATTER OF TODAY'S HEARING - GRADUATE EDUCATION.

LOAN INDEBTEDNESS NOT ONLY DETERS MANY QUALIFIED MINORITY STUDENTS FROM CONSIDERING PURSUIT OF A GRADUATE DEGREE, BUT ALSO DISCOURAGES THEM FROM ENTERING THE COLLEGIATE PROFESSORATE. AS THE PRESIDENT OF THE FIRST (AND FOR MANY YEARS THE ONLY) BLACK GRADUATE INSTITUTION -- I CAN ASSURE YOU THAT FINANCING A Ph.D., AFTER ACCUMULATING MORE THAN $10,000 IN LOANS AS AN UNDERGRADUATE, REPRESENTS A REAL CHALLENGE!

BLACKS IN GRADUATE SCHOOL -- A PIPELINE PERSPECTIVE

ACCORDING TO THE MOST RECENT DATA, AFRICAN AMERICANS MADE LITTLE PROGRESS IN INCREASING THEIR DEGREE AWARDS BETWEEN 1987 AND 1989. A MARGINAL GAIN OF 2.6 PERCENT IN BACCALAUREATE DEGREE AWARDS WAS THEIR LARGEST INCREASE DURING THIS TWO-YEAR PERIOD, FOLLOWED BY A 1.5 PERCENT RISE IN MASTER'S DEGREES. ALTHOUGH SMALL, THESE GAINS ARE THE FIRST INCREASES AFRICAN AMERICANS HAVE EXPERIENCED IN DEGREE WARDS AT THE BACHELOR'S AND MASTER'S LEVELS SINCE THE LATE 1970S. HOWEVER, THESE GAINS DID NOT OFF-SET THE DEGREE LOSSES THE GROUP SUFFERED DURING THE 1980S. THE TOTAL NUMBER OF BACHELOR'S AND MASTER'S DEGREES AFRICAN AMERICANS RECEIVED IN 1989 REMAINED FAR BELOW CORRESPONDING FIGURES FOR 1981. AFRICAN AMERICANS WERE SUCCESSFUL ONLY IN STOPPING THE DOWNWARD SLIDE IN DEGREES AWARDED AT THESE LEVELS. AS WITH COLLEGE ENROLLMENT TRENDS IN GENERAL, AFRICAN AMERICAN WOMEN MADE MORE PROGRESS IN DEGREE AWARDS THAN AFRICAN AMERICAN MEN. DURING THIS TWO-YEAR PERIOD, AFRICAN AMERICAN WOMEN MADE A MODERATE GAIN OF 4.7 PERCENT IN BACHELOR'S DEGREES AND A SLIGHT GAIN OF 1.8 PERCENT IN MASTER'S DEGREES. THE NUMBER OF BACCALAUREATE AND MASTER'S DEGREES AFRICAN AMERICAN MEN RECEIVED REMAINED APPROXIMATELY THE SAME IN 1987 AND 1989. SIMILARLY, AT THE ASSOCIATE LEVEL, AFRICAN AMERICAN MEN DID NOT FARE WELL. THEY NETTED AN 8.1 PERCENT LOSS IN ASSOCIATE DEGREES, COMPARED WITH NO CHANGE FOR AFRICAN AMERICAN WOMEN. BECAUSE OF LOSSES SUSTAINED BY AFRICAN AMERICAN MEN, AFRICAN AMERICANS EXPERIENCED A 3 PERCENT DECLINE IN ASSOCIATE AWARDS OVERALL.

AFTER MORE THAN A DECADE OF PROGRESS IN FIRST-PROFESSIONAL AWARDS, AFRICAN AMERICANS FELL 9.3 PERCENT IN THE NUMBER THEY RECEIVED AT THIS LEVEL. BOTH AFRICAN AMERICAN MEN AND WOMEN SUFFERED LOSSES. IN 1989, AFRICAN AMERICAN MEN RECEIVED IN 12.4 PERCENT FEWER FIRST-PROFESSIONAL DEGREES THAN IN 1987, WHILE AFRICAN AMERICAN WOMEN EXPERIENCED A 5.8 PERCENT DECLINE.

BASED ON 1989 DATA FROM THE NATIONAL RESEARCH COUNCIL, LITTLE CHANGE TOOK PLACE IN THE TOTAL NUMBER OF DOCTORATES AWARDED TO AFRICAN AMERICANS IN 1988 (805) AND 1989 (811). BECAUSE OF A CONTINUOUS DECLINE FROM THE LATE 1970S THROUGH THE 1980S, THE NUMBER OF DOCTORATES RECEIVED BY AFRICAN AMERICANS IN 1989 REMAINED SMALL COMPARED WITH THEIR AWARDS DURING THE MID-1970S. FROM 1988 TO 1989, AFRICAN AMERICAN WOMEN DROPPED SLIGHTLY IN DOCTORATES FROM 494 TO 488. THIS COMPARED WITH A 3.9 PERCENT GAIN FOR AFRICAN AMERICAN MEN.

FROM 1988 TO 1989, AFRICAN AMERICANS INCREASED THE NUMBER OF DOCTORATES THEY RECEIVED IN PHYSICAL SCIENCE, ENGINEERING, LIFE SCIENCE, SOCIAL SCIENCE, AND EDUCATION. DESPITE THESE GAINS, THEY REMAIN TREMENDOUSLY UNDERREPRESENTED IN THE SCIENCES AND ENGINEERING. THEY EXPERIENCED THEIR LARGEST DECREASE IN PROFESSIONAL/OTHER FIELDS -- 30.8 PERCENT, OR 24 FEWER DEGREES. IN THE HUMANITIES, AFRICAN AMERICANS RECEIVED 6.5 PERCENT FEWER DEGREES, CONTINUING THEIR DOWNWARD SLIDE IN THIS AREA. 1/

MINORITIES IN THE PROFESSORATE

I BELIEVE THAT IT IS FAIR TO SAY THAT ACADEME'S ATTEMPTS TO DATE TO RECRUIT, EMPLOY, AND RETAIN MINORITY FACULTY -- ESPECIALLY AFRICAN AND HISPANIC AMERICANS -- IS A DISMAL FAILURE. EVEN WORSE, WHEN VIEWED FROM ONE PERSPECTIVE, IS THE HIGHER EDUCATION COMMUNITY'S ALMOST SMUG ACCEPTANCE OF THE STATUS QUO, I.E. THEY APPEAR "SATISFIED" WITH THE PROGRESS MADE IN AFFIRMATIVE EFFORTS TO EMPLOY AND RETAIN MINORITY FACULTY. 2/

THE FACTS, HOWEVER, SPEAK FOR THEMSELVES:

	1983	1985	1987
BLACK	19,957	19,227	18,973
HISPANIC	8,311	7,704	7,506

ACCORDING THEN TOTHE MOST RECENT DATA FROM THE EQUAL EMPLOYMENT OPPORTUNITY COMMISSION -- INFORMATION BASED ON WHAT THE INSTIUTIONS, THEMSELVES, REPORT TO THE FEDERAL GOVERNMENT -- THE NUMBERS OF AFRICAN AMERICANS AND HISPANIC AMERICANS IN THE PORFESSORATE ARE DECLINING, WHILE AMERICA DEBATES ABOUT "QUOTAS" AND WHETHER OR NOT BLACKS AND LATINOS ARE REPLACING WHITES IN THE WORK PLACE.

I WOULD ACKOWLEDGE THAT THERE IS AN "AVAILABILITY POOL" PROBLEM AND OUR PROPOSAL TO YOU TODAY ACKNOWLEDGES THAT SIMPLE FACT. THAT AVAILABILITY POOL CAN BE AND WILL BE ENHANCED SIGNIFICANTLY THROUGH CONGRESS' ENACTMENT OF THE AUGUSTUS F. HAWKINS FELLOWSHIP PROGRAM. THIS WOULD REPRESENT, IN OUR VIEW, THELAST LINK IN THE CHAIN (COUPLED WITH THE PATRICIA RABOERTS HARRIS FELLOWSHIP) DESIGNED TO MOVE MINORITIES INTO COLLEGE AND THROUGH THE DOCTORATE DEGREE. HAWKINS FELLOWS HAVE THE ADDITIONAL ADVANTAGE OF THEN RETURNING TO THE CAMPUS AND INFLUENCING OTHER MINORITY STUDENTS TO BOTH SUCCEED AND TO ENTER THE TEACHING PROFESSION OR THE HIGHER EDUCATION PROFESSORATE.

YOU MAY ASK WHY IT IS IMPORTANT TO HAVE MINORITIES IN THE HIGHER EDUCATION PROFESSOPATE, AS WELL AS IN IMPORTANT ADMINISTRATIVE POSITIONS. A GREAT DEAL OF RESEARCH HAS BEEN DONE, IN PARTICULAR, ON THE IMPORTANT ISSUES CONTRIBUTING TO THE SUCCESS OF BLACK STUDENTS IN BLACK VERSUS WHITE COLLEGES AND UNIVERSITIES. JACQUELINE FLEMMING, IN HER SEMINAL WORK BLACKS IN COLLEGE HAS CONTRIBUTED IMMENSELY TO OUR UNDERSTANDING OF WHY BLACKS SUCCEED AND PERSIST IN HISTORICALLY BLACK VERSUS TRADITIONALLY WHITE INSTITUTIONS OF HIGHER EDUCATION. IN THE PAST, WE HAVE SURMISED THAT IN SPITE OF FEWER RESOURCES BLACK INSTITUTIONS, AS INSTITUTIONS, WERE RESPONSIBLE FOR THE ACADEMIC SUCCESS OF BLACK AND OTHER MINORITY STUDENTS. BLACKS IN COLLEGE SHEDS ADDITIONAL LIGHT ON THE REASONS FOR STUDENTS SUCCESS IN THESE ENVIRONMENTS. IN FACT, WHAT WE HAVE LEARNED IS THAT THE ABILITY OF FACULTY AND STAFF OF THE SAME RACE OR NATIONAL ORIGIN AS THE MINORITY STUDENT CONTRIBUTE TO CREATING THE PROPER ACADEMIC ENVIRONMENT WHICH LEADS TO ACADEMIC SUPPORT, STUDENT PERSISTENCE AND EDUCATIONAL EXCELLENCE.

TWO OTHER GRADUATE-ORIENTED PROGRAMS IN THE HIGHER EDUCATION ACT ARE OF PARTICULAR INTEREST TO UNCF. THE PATRICIA ROBERTS HARRIS FELLOWSHIP PROGRAM AND THE RONALD C. MCNAIR POST-BACCALAUREATE ACHIEVEMENT PROGRAM (SECTION OF TITLE IV), ARE OF CRITICAL IMPORTANCE IF THE FEDERAL GOVERNMENT IS TO ASSIST IN EXPANDING THE NUMBERS OF BLACK AMERICANS AND OTHER MINORITIES OBTAINING TERMINAL DEGREES AND ENTERING THE PROFESSIONS. IN ADDITION, PROVIDING TOP QUALITY BLACK FACULTY AT HBCUS AND AT MAJORITY INSTITUTIONS DEPENDS UPON OUR ABILITY TO CREATE MORE FELLOWSHIPS FOR MINORITIES TO ENTER AND COMPLETE GRADUATE SCHOOL.

UNCF BELIEVES THAT THE BEST METHOD FOR INCREASING THE NUMBER OF AFRICAN AMERICANS WITH PH.D.'S IS TO BOTH CREATE A LARGER POOL IN UNDERGRADUATE COLLEGES AND UNIVERSITIES, AND INCREASE FEDERAL SUPPORT FOR DOCTORAL STUDY. ON THE LATTER POINT, IT IS DISCOURAGING TO NOTE THE DECLINE IN FEDERAL SUPPORT FOR DOCTORAL EDUCATION OVER THE LAST 20 YEARS PARALLELED BY A DECLINE IN THE NUMBER OF DOCTORATES EARNED BY U.S. CITIZENS FOR MORE THAN A DECADE. IN 1969, FOR EXAMPLE THE FEDERAL GOVERNMENT FUNDED 60,000 FELLOWSHIPS AND TRAINEESHIPS; WHILE TODAY IT FUNDS ABOUT 12,000. IN 1972, 83 PERCENT OF ALL DOCTORATES AWARDED BY AMERICAN UNIVERSITIES WERE RECEIVED BY U.S. CITIZENS; BUT BY 1987, THE PERCENTAGE HAD DECLINED TO LESS THAT 71 PERCENT.

THE PATRICIA ROBERTS HARRIS PROGRAM CAN HELP SOLVE THE SHORTAGE PROBLEM. IN FY 1989, HARRIS FELLOWSHIPS WERE AWARDED TO 1,007 STUDENTS AT 183 PARTICIPATING INSTITUTIONS, WHICH ACTUALLY REPRESENTS A DECLINE IN THE NUMBER OF PARTICIPATING FELLOWS FROM A PEAK OF 1,400 IN FY 1986. THIS DECLINE IS DUE, IN PART, TO A MANDATED INCREASE IN THE FELLOWSHIP AWARD LEVEL AND THE ABSENCE OF SUFFICIENT FUNDING TO SUPPORT THAT INCREASE.

SOLVING THE MINORITY PROFESSORATE PUZZLE

AS CONGRESS AND THE NATION SEEK TO EXPAND EDUCATIONAL OPPORTUNITY AT THE UNDERGRADUATE LEVEL AND TO DESEGREGATE AND DIVERSIFY MAJORITY INSTITUTIONS, THERE WILL BE AN INCREASING NEED TO EMPLOY AND PROMOTE AFRICAN AMERICANS AS PART OF THE PROFESSORATE AND IN HIGHER EDUCATION. SINCE THERE IS ALREADY A SHORTAGE OF BLACK PH.D.s, I WANT TO RECOMMEND THE FEDERAL GOVERNMENT INAUGURATE A NEW PROGRAM TO PRODUCE MORE Ph.D.s TO ENTER THE PROFESSORATE. WE SUPPORT THE BUSH ADMINISTRATION'S EFFORTS TO MERGE THE TITLE IX, PART A PROGRAM WITH THE RONALD C. MCNAIR POST-BACCALAUREATE ACHIEVEMENT PROGRAM IN TITLE IV. IN ITS PLACE, THE CONGRESS SHOULD AUTHORIZE A PROGRAM OF AUGUSTUS F. HAWKINS FELLOWSHIPS, IN HONOR OF FORMER HOUSE EDUCATION AND LABOR COMMITTEE CHAIR AUGUSTUS F. HAWKINS. HAWKINS FELLOWSHIPS WOULD BE AWARDED TO HBCU FACULTY AND OTHER AFRICAN, ASIAN, HISPANIC AND NATIVE AMERICAN PH.D. CANDIDATES WHO AGREE TO RETURN TO THEIR HOST INSTITUTION OR ANY OTHER ASSOCIATE OR BACCALAUREATE DEGREE GRANTING INSTITUTION -- WITH A SIGNIFICANT MINORITY ENROLLMENT --TO TEACH FOR TWO YEARS FOR EACH ONE YEAR OF FELLOWSHIP ASSISTANCE RECEIVED.

WE BELIEVE A MINOR MODIFICATION IN THE NATIONAL CONSORTIUM FOR EDUCATIONAL ACCESS, INC. PROGRAM WILL ACHIEVE WHAT WE BELIEVE IS A SHARED OBJECTIVE. UNCF HAS MODIFIED DR. LEROY ERVIN'S PROGRAM (SEE ENCLOSED DRAFT BILL) AND WE RECOMMEND IT TO YOU FOR INCLUSION IN THE SENATE'S HIGHER EDUCATION ACT REAUTHORIZATION BILL. THE PROPOSED AUGUSTUS F. HAWKINS FELLOWSHIP PROGRAMS WOULD INCLUDE THE FOLLOWING BASIC ELEMENTS: (1) A $15,000 FEDERAL FELLOWSHIP FOR CURRENT HBCU, TRIBALLY-CONTROLLED INDIAN COMMUNITY COLLEGE FACULTY, OR MINORITY FACULTY AT OTHER INSTITUTIONS WITH SIGNIFICANT MINORITY STUDENT ENROLLMENTS, AND MINORITY BACCALAUREATE DEGREE HOLDERS WHO ARE AFRICAN AMERICAN, ASIAN AMERICAN (CHINESE, JAPANESE, KOREAN, ETC.), HISPANIC AMERICAN (MEXICAN AMERICAN, CUBAN AMERICAN, PUERTO RICAN), NATIVE AMERICAN (AMERICAN INDIANS, ALEUTS, NATIVE ALASKAN, NATIVE HAWAIIAN); (2) A REQUIRED WAIVER OF THE GRADUATE SCHOOL'S TUITION BY THE RECEIVING INSTITUTION (EXCEPT IN SPECIAL CIRCUMSTANCES) COUPLED WITH THE PROVISION OF AN ASSISTANTSHIP BY THE INSTITUTION; (3) THE PROVISION BY THE RECEIVING INSTITUTION OF A MINIMUM $2,000 STIPEND TO THE HAWKINS FELLOW FROM PRIVATE, NON-INSTITUTIONAL SOURCES; AND (4) A REQUIREMENT THAT THE HAWKINS FELLOW TEACH AT HIS/HER "HOST" INSTITUTION AFTER RECEIVING THE DEGREE FOR AT LEAST TWO YEARS FOR EACH YEAR OF FELLOWSHIP ASSISTANCE RECEIVED.

MR. CHAIRMAN, WE ARE CONVINCED OF BOTH THE NECESSITY AND THE EFFICIENCY OF PROCEED IN THIS WAY TO INCREASE THE REPRESENTATION OF MINORITY FACULTY IN THE PROFESSORATE. WE WILL NOT ONLY EXPAND THE REACH OF LIMITED FEDERAL DOLLARS BY "MATCHING" THEM WITH INSTITUTIONAL AND PRIVATE DOLLARS, BUT WE WILL ALSO IMPROVE STUDENT PERSISTENCE.

400/COLETEST

LET ME CONCLUDE, MR. CHAIRMAN, WITH THREE RECOMMENDATIONS:

- MERGE THE CURRENT TITLE IX, PART A PROGRAM WITH THE RONALD MCNAIR POST-BACCALAUREATE ACHIEVEMENT PROGRAM IN TITLE IV, SECTION 417D(d), CREATE THE AUGUSTUS F. HAWKINS FELLOWSHIP PROGRAM FOR MINORITY STUDENTS WHO SEEK TO ENTER THE HIGHER EDUCATION PROFESSORATE;
- INCREASE THE AWARD-LEVEL FOR PATRICIA ROBERTS HARRIS FELLOWS FROM THE CURRENT $10,000 TO A MINIMUM OF $15,000, WHILE MAINTAINING OR EXPANDING THE CURRENT NUMBER OF AWARDS; AND
- GIVE CONSIDERATION TO MERGING OR ELIMINATING SEVERAL OF THE REMAINING FEDERAL FELLOWSHIP PROGRAMS IN TITLE IX (UNCF BELIEVES THAT THE JAVITS FELLOWSHIPS COULD EASILY BE MERGED WITH THE NATIONAL NEEDS FELLOWSHIP PROGRAM AND THAT THE PUBLIC SERVICE AND MINING FELLOWSHIP PROGRAMS COULD BE MERGED AND/OR ELIMINATED.

I WOULD BE PLEASED TO ANSWER ANY QUESTIONS YOU MAY HAVE.

ENDNOTES

1/ MINORITIES IN HIGHER EDUCATION, Ninth Annual Status Report, 1990, American Council on Higher Education, Reginald E. Wilson and Deborah J. Carter, p. 9 (January 1991) and "Higher Education Faculty Satisfied With Affirmative Action," Black Issues In Higher Education, Vol. 6 No.19 (December 7, 1990).

2/ AFFIRMATIVE RHETORIC, NEGATIVE ACTION: African American and Hispanic Faculty At Predominantly White Institutions, Report No. 2, School of Education and Human Development, George Washington University, 1989; see also FACULTY EMPLOYMENT INFORMATION from the Equal Employment Opportunity Commission (EEOC) Race and Sex Employment Data.

Mr. **Andrews**. Doctor, thank you very much.

Congressman Payne, Dr. Cole is going to be leaving us. If you have any questions, we thought we'd do that now.

Mr. **Payne**. Thank you very much.

I certainly appreciate seeing you, and listening to your testimony. I won't hold you, because I—100 percent—support the Augustus F. Hawkins scholarship, and will be working very closely with Major Owens who chairs a subcommittee on which I sit, Select Education, to move it along. I think there is no question about the fact that we need to have special programs to encourage African-Americans to go on to college-level—doctoral programs and master's programs.

I think that one of the problems that we have is that when African-Americans finally get that bachelor's degree, they are so anxious to get out into the workforce, because they have been struggling or their parents have struggled, that they put off the graduate education.

I ran into that problem with myself when I received my bachelor's degree many years ago, but found that my daughter, who graduated and qualified for an outstanding scholarship for master's in education when she graduated from Kean College in New Jersey, decided that she wanted to start teaching, even though I tried to impress upon her to go on and get her master's immediately because once you get out of that loop, it is hard to get back in. I failed to persuade her to continue on.

So I know that even in my household, where there was really no real economic problem, it was just her anxiety and anxiousness to get out to be on her own. She had been dependent for so long, and just wanted to reach out. So we need to have some additional assistance. I couldn't agree with you more.

Also, we will have Ph.D.'s and people with master's degree in math and science stay in the pool once we can get a pool of them around. You know, they are so rare that when they get their Ph.D., and if they are in education, especially in math or science, they are plucked out by industry because they are a rare commodity. It is something like Larry Bird and basketball. But because of the rarity, they get scooped up.

So, once we have more of these strange creatures with a Ph.D. in math or science who are African-American, and male at that, I think that then they will be able to have more of a normal career path than today where they are such oddities that it makes it very difficult. They simply get offers they can't refuse.

But I just appreciate your testimony, and will not delay his departure.

Thank you, Mr. Chairman.

Mr. **Andrews**. Thank you, Mr. Payne.

Dr. Cole, thank you for your excellent proposal named after Chairman Hawkins. I know that all of us are looking forward to working with Congressman Owens to try to make that a reality.

Thank you.

Mr. **Cole**. Thank you.

Mr. **Andrews**. We are next going to hear from Dr. Richard Hope, Vice President and Director of the Minority Advancement, Woodrow Wilson National Fellowship Foundation in Princeton, New

Jersey. He is accompanied by the former president of Princeton University, Robert Goheen. Mr. Goheen is now Director of Mellon Fellowships in Humanities for the Woodrow Wilson National Fellowship Foundation.

Welcome.

STATEMENT OF RICHARD O. HOPE, VICE PRESIDENT OF THE WOODROW WILSON NATIONAL FELLOWSHIP FOUNDATION; ACCOMPANIED BY ROBERT F. GOHEEN, SENIOR FELLOW IN PUBLIC AND INTERNATIONAL AFFAIRS AT PRINCETON, AND DIRECT OF THE MELLON FELLOWSHIPS IN THE HUMANITIES IN THE WOODROW WILSON NATIONAL FELLOWSHIP FOUNDATION

Mr. **Hope**. Thank you, Mr. Chairman. With your permission, I would like to begin with Bob Goheen, who accompanies me on this proposal.

Mr. **Goheen**. Mr. Chairman, thank you. I am privileged to be here and have the opportunity to speak with you. I am Bob Goheen, formerly both president of Princeton University and United States Ambassador to India. My interest in both higher education and international affairs remains very strong.

I am here with Dr. Hope today to try to urge upon this subcommittee Federal support for a program or programs that would bring more minority students into preparation for professional careers in public and international affairs. My interest in that began in 1986 when I conducted a study of the then 13 graduate programs that are specifically aimed at developing professionals in international affairs. Those institutions constitute now an association known as APSIA, the American Professional Schools of International Affairs.

If the Committee would be interested, I have that study should they want it.

Mr. **Andrews**. We'd like for you to submit that for the record of our proceeding, Ambassador. Thank you.

Mr. **Goheen**. All right. Now, these 13 schools are not cut to the same mold at all; but as I looked into them, I became very strongly impressed how successful they were in developing graduates well-equipped with both knowledge and skills to operate effectively in this complex shifting inter-dependent world that we now live in.

The single greatest flaw that I found through the institutions of the APSIA association was how very few minority students they were managing to bring into their net, much as they were trying to do by more traditional means. One of my major recommendations was that the institutions individually and the organization collectively should be ceased of that problem and seek to make greater headway.

I am glad to say that the APSIA institutions in the subsequent years have made substantial headway in collaboration with the Woodrow Wilson National Fellowship Foundation that Dr. Hope and I represent today. They have been joined in that by a very important third party, the Association of Schools of Public Policy and Management, known as APPA, which have previous experience in this are with Sloan Foundation support. I am glad to report that at least three of the graduates of that Sloan Program are in the audience here today, I notice, and seem to have been very happy with it.

Just now, working with important help from the Ford, Rockefeller and Philip Reed Foundation, the Woodrow Wilson Foundation, and these two organizations, are now carrying on a program that does offer to minority students, starting in the junior year of college attractive summer institutes, internships and support in the initial years of graduate study to bring students into graduate study for preparation for careers and pubic and international affairs.

In brief, a tested and effective model is operating now, which does attract able minority students into education to become careerists in public and international affairs. It seems to me that there is no doubt at all that in the modern world, this country needs greatly increased minority representation in these fields of endeavor and service. We believe that the existing program developed collaboratively, I have said, should be expanded and that, ideally, it should be made to reach down to somewhat lower educational levels.

Our great problem, however, is not with the program but is the fact that it lives on short-term foundation funding. The future of it is very uncertain.

My colleague, Dr. Hope, who is the vice president of the Woodrow Wilson National Fellowship Foundation, is director of the current minorities program. He can speak more in detailed to it, and I would like to turn the microphone over to him.

[The prepared statement of Robert F. Goheen follows:]

Testimony of Robert F. Goheen
to
The Subcommittee on Post Secondary Education
of the
U.S. House Committee on Education and Labor
in support of
A Program to Support and Enlarge the
Recruitment and Preparation of
Minority Students for Careers in
Public Policy and International Affairs

June 13, 1991

Mr. Chairman. Members of the Subcommittee...My name is Robert F. Goheen. I am a former President of Princeton University and a former U.S. Ambassador to India. Currently I both serve as a Senior Fellow in Public and International Affairs at Princeton and am Director of the Mellon Fellowships in the Humanities in the Woodrow Wilson National Fellowship Foundation.

I am here today alongside my colleague Dr. Richard O. Hope, to urge on the Subcommittee the desirability of support from the Federal Government for a program or programs designed to attract more minority students into preparation for careers in public and international affairs.

My particular interest in such an enterprise began during the academic year 1986-87 when I was commissioned by two charitable foundations to carry out a comparative study of the 13 American graduate programs directed to the preparation of students for careers in the international arena. Together these institutions constitute the Association of Professional Schools of International Affairs (APSIA). (If you would be interested in seeing this study, I would be happy to submit it as an attachment to my testimony).

These schools are not all cut from the same mold, but as I got on in my investigations, I became very favorably impressed by their success, individually and collectively, in turning out graduates well equipped with both knowledge and skills to operate effectively in the kind of complex, changing, interdependent world of nations, enterprises, and peoples in which we now live.

The most glaring flaw I found in them--and I considered it very serious--was how very, very few Blacks, Hispanics, and American Indians they were managing to attract to be their students. The proportion of minority faculty members was similarly low. A major recommendation of my study was that the Schools individually and APSIA as an organization should make strong efforts to rectify these deficiencies, and especially so in the recruitment of students as it can be a somewhat quicker process than the development of faculty.[1]

In the subsequent years, I am glad to say that APSIA has moved firmly in this direction in collaboration with the WWNFF that Dr. Hope and I represent. And they have been joined by an important third party, the Association of Schools of Public Policy Analysis and Management (APPAM), so that with critically important help from the Ford, Rockefeller, and Philip Reed Foundations, the WWNFF is now working with a consortium of 31 graduate institutions to offer to minority students, starting in the junior year of college, attractive summer institutes, internships, and (eventually) support in the initial years of graduate study.

In brief, a tested, effective model has been established to interest able minority students in preparing to become careerists in public and international affairs. There is no doubt but there is need for greatly increased minority representation in these fields of endeavor and service. We believe that the program which the WWNFF has developed in collaboration with the 31 institutions of APSIA and APPAM can and should be expanded and, ideally, made to reach down to somewhat lower educational levels.

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[1] An excerpt from my study, Education in U.S. Schools of International Affairs, relating to student recruitment and especially minorities is attached.

My colleague, Dr. Hope who is Vice President of WWNFF directs the current program and can speak more directly on its operations and to its potential. May I suggest that he make his presentation now. Then we shall, of course, both be happy to respond to questions.

Attachment

MINORITY REPRESENTATION IN THE APSIA SCHOOLS

(Source:Education in U.S. Scools of International Affairs,Robert F.Goheen,pp.57 ff)

The APSIA Schools do not get such young people entirely by chance. Nine of the Schools have at least one staff member working on student recruitment, and six have two or more persons so employed.

As shown in Attachment #6, women amounted to 50% of the 1986-87 enrollment at only one School, but no where did they constitute less than 30%. Foreign students filled roughly half the places at two institutions, but constituted as little as 13% of the enrollment at two others.

With respect to members of minority groups, whether as students or as faculty members, the Schools have done much more poorly. This is apparent in the following Table, #4. The paucity of minorities is, of course, not a phenomenon peculiar to the APSIA Schools. It characterizes most of American higher education's selective institutions, and has proved extremely difficult for them to overcome. Yet, clearly this is a problem of which the APSIA Schools must, as the Quakers say, continue to be seized.

Minority Representation in the APSIA Schools

Institution	Graduate Students				Mid-Career Students				Faculty			
	Blacks	Hispanics	Amer. Indian	Asian Amer.	Blacks	Hispanics	Amer. Indian	Asian Amer.	Blacks	Hispanics	Amer. Indian	Asian Amer.
American	15	10	--	30	2	7	--	1	3	--	--	--
Columbia	19	23	2	47	na	na	na	na	2	4	--	7
Denver	4	3	0	3	na	na	na	na	--	--	--	--
Georgetown	1	8	--	2	na	na	na	na	1	--	--	1
GW Univ	8	20	--	17	na	na	na	na	--	--	--	5
Hopkins/SAIS	7	10	1	6	5	2	--	1	--	3	--	2
Pittsburgh	21	?	--	?	na	na	na	na	4	1	--	--
Princeton	10	4	--	9	2	--	--	5	2	--	--	1
USC	5	4	--	5	na	na	na	na	--	--	--	--
Tufts/FSLD	10	3	1	2	na	na	na	na	--	--	--	2
Washington	--	--	--	--	na	na	na	na	--	--	--	3
Yale	1	--	--	2	na	na	na	na	--	--	--	4

na = Not applicable

Additional fellowship money might make it possible for more minority students to consider graduate study leading to international service. Since, however, few qualified minority members have been presenting themselves as applicants from among the graduating classes and recent graduates of our colleges, the place to attack the problem is very likely at an earlier stage or stages of education. A model may be the Summer Program in Policy Skills for Minority Students, currently funded by the Sloan Foundation at some eight public policy institutions. Between the junior and senior years of undergraduate study, minority students are brought to those campuses for a program of study designed to help prepare them for graduate study and eventually careers in public policy and public management. The early exposure seems to have produced results in subsequent minority graduate enrollments; this, at least has been true at Princeton.

Others, however, would argue that even greater success might be achieved if comparable steps were taken to capture the interest of minority students in international affairs between the junior and senior years of high schools. APSIA Schools which conduct undergraduate programs in international affairs might most appropriately reach down into the high schools that way to bring minority students into their orbit and expose them at an early age to the interest and challenges inherent in the study of international affairs. A model here is the Upward Bound program now functioning in a number of the traditionally black colleges.

EDUCATION IN U.S. SCHOOLS
OF
INTERNATIONAL AFFAIRS

A Comparative Study Commissioned

by

The Exxon Education Foundation
The Pew Charitable Trusts

Conducted

by

Robert F. Goheen

Woodrow Wilson School
Princeton University
November 1987

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EDUCATION IN U.S. SCHOOLS OF INTERNATIONAL AFFAIRS

A Survey of the APSIA Schools

PREFACE

The origin of this survey lies in program interests of the Exxon Education Foundation and the Pew Memorial Trusts, who have as well provided its funding. Both grantors have been, and continue to be, involved in support of various activities of the country's colleges and universities relating to public policy and international affairs. Among the institutions which are natural targets for these philanthropic interests are the schools of international affairs lodged in universities and aimed specifically to develop international affairs practitioners and careerists. Grouped now in a loose association called the Association of Professional Schools of International Affairs (APSIA), these institutions now number thirteen and are the object of this survey.

Alphabetically by university they are --

The School of International Service (SIS), The American University.
The School of International and Public Affairs (SIPA), Columbia University.
The Graduate School of International Relations and Pacific Studies (IR/PS), University of California at San Diego.
The Graduate School of International Studies (GSIS), University of Denver.
The Edmund A. Walsh School of Foreign Service (SFS), Georgetown University.
The School of International Affairs (SIA), George Washington University.[1]
The School of Advanced International Studies (SAIS), The Johns Hopkins University.
The Graduate School of Public and International Affairs (GSPIA), University of Pittsburgh.
The Woodrow Wilson School of Public and International Affairs (WWS), Princeton University.
The Fletcher School of Law and Diplomacy (FSLD), Tufts University.
The School of International Relations (SIR), University of Southern California.
The Henry M. Jackson School of International Studies (JSIS), University of Washington.
The Center for International and Area Studies (CIAS), Yale University.

For brevity, they will usually be referred to generically as Schools and individually by the name of the host or parent university; sometimes, however, the name of the School has seemed preferable.

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[1] Until 1987-88, the School of Public and International Affairs.

In sponsoring the survey, the foundations' intent has primarily been to be helpful to APSIA's members by stimulating them to self-study and by easing their sharing of practice, experience, and thought. If I, the surveyor, could mark out some clear lines of direction for them, so much the better, but I did not start with any such obligation; nor can I say that I have achieved that sort of vision.

What the APSIA Schools mainly have in common are a commitment to the education of men and women to be knowledgeable and effective actors in lines of service and employment with international dimensions and certain large questions of curricular content and balance that arise from that commitment. Within these commonalities, however, there prove to be many differences. A uniform pattern of education for international practitioners was the last thing any of us sought. But if I had foreseen the bewildering diversity which characterizes the field -- ranging from size and nature of student body through status of faculty, relation to parent university, concern for foreign language competence, historical perspective, analytical skills, notions of a curricular core, methods of instruction, involvement in research, to definition of mission -- I would have been, if not less willing to undertake the study, certainly much less confident as I started on it.

To some extent all this diversity corresponds to the variety of needs and opportunities for service and employment presented by the complex, changing, interdependent world of nations, enterprises, and peoples in which we live. But these external pluralities make it all the more difficult to establish solid normative criteria for measuring educational performance or to plot optimal lines of development. My principal effort, therefore, has been to lay out for inspection significant elements of the institutional diversity and to draw comparisons which I hope will prove informative and useful. I have not avoided entirely, however, the temptation to offer normative comments from time to time.

An initial query to the Deans and Directors asked them to identify the major problems, trends, and opportunities facing their schools now and over the next five to ten years. The two concerns most commonly voiced were: (a) some shifting of the principal markets for their graduates to the private sector, coupled to (as it was seen) inadequate appreciation of PSIA "products" there, and (b) an undermining of the development of liberally educated generalist graduates, good for the long term, by increasing external demands for specialized and immediately applicable competences. Also recurrent but less prominent was the importance of undergraduate preparation, especially with respect to language skills, that would permit students to go out well equipped for work of an international cast after a normal two-year run to the Master's degree. These are three themes that will reappear, more than once, in the body of the report.

Indeed, whatever this survey has by way of substance derives in large measure from the APSIA Deans and Directors and their administrative associates, who have been generous with their time, attention, and good counsel. We conferred collectively for several hours at last fall's APSIA meeting. I or my associate, Thomas Putnam, have talked with all of them at some length individually and also with faculty members and, usually, students on their home ground. The Schools have completed two lengthy and rather complex questionnaires that we imposed on them. There have been many lesser exchanges by phone and letter to clarify particular points.

Finally, I wish to acknowledge the invaluable assistance of Thomas Putnam, a second-year student in Princeton's Woodrow Wilson School during 1986-87. Not only is he responsible for fastening together many of the nuts and bolts of this survey in the form of its comparative tables; he has also contributed important perceptions and ideas throughout the course of the study.

* * * * *

Focus and Setting: This survey is centered on graduate education in schools of international affairs. While it looks at PhD and mid-career programs, the principal subject is terminal Master's degree programs designed to develop graduates capable of acting knowledgeably and effectively in occupations with international dimensions.

Even so, it is gratifying to observe in passing signs of broadening public concern for international affairs and international affairs education. A recent survey by the Chicago Council on Foreign Relations has discovered that among the general public since 1983 "a greater sensitivity to foreign affairs has occurred. ...The public's concern for foreign policy, as opposed to domestic economic and social issues, is more evenly balanced." (Foreign Policy, #66, Spring, '87, p. 41.)[2] In education, the APSIA members which offer undergraduate majors in international relations all report strong upward pressure on enrollments, and most have had to place a cap on the number of undergraduate concentrators they can accommodate. Following a time of national inturning and amid continuing elevation of individual self gratification, these indications of revived international interest and concern are surely heartening.

To this silver cloud there is, however, a dark underside -- namely, the reductions in recent years of the Federal Government's financial underwriting of the country's foreign affairs functions. The contrast is the subject of a short, telling essay by Peter Krogh in the Report of the Dean, 1986: Edmund A. Walsh School of Foreign Service, Georgetown University, pp. 9-10. "Coincident with the heartening increased interest (of students) in the School," he writes, "the country, through its elected representatives, has reduced its official capacity to conduct international affairs by 20%." His observations, to be sure, exclude both the country's military buildup and a less patent factor not readily measurable. It is the broad extension through the Federal agencies of international involvements and responsibilities.[3] But if one believes that diplomacy and related activities should be the nation's first line of defense, or that in a highly interdependent, multipolar world, they are essential to the sustaining of the country's global interests and responsibilities, then one must feel grave concern at the deep cuts in their funding made over the past decade and especially in the last three years. Are our priorities right, one may ask, when as a percentage of GNP, the United States' financial commitment to its international affairs agencies ranks below that devoted to comparable functions by all of its principal allies?

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[2] A contrary trend was outlined as recently as the 1985-86 winter issue of Foreign Policy by Thomas Hughes in an article entitled "The Twilight of Internationalism." Moreover pockets and strands of a rabidly conservative nationalism, of course, continue to exist across the country and surface sometimes even at high levels of government. The only APSIA-related activity that seems to have drawn frontal attack, however, is Denver's Center for Teaching International Relations, a pre-collegiate teachers' training unit of the university's Graduate School of International Studies.

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[3] The latter phenomenon is looked at on pages 23-24.

I. OVERVIEW

While it has become a truism to say that we live in a highly interdependent world, the fact nevertheless remains. Most Americans need to recognize and learn to deal with it better than we commonly do. The American economy is now tied into not only the economies of western Europe and Japan but also those of the developing nations in what amounts to a global set of interlinkages. Big power politics still makes its muscle felt, but alongside it now demanding attention and often carrying collective weight are the aspirations and rising capabilities -- and too often also the weak economies and indebtedness -- of 130 or more lesser powers, linked together both in the United Nations and in various regional groupings.

Modern high-speed communications have shrunk the globe temporally and spatially -- and so, too, have ballistic missiles. Whether Pakistan has or has not developed an atomic bomb cannot these days be of concern only to her neighbors; it has grave implications for world peace. So has the Iran-Iraq war as it bears on the oil resources of the Gulf. On a lesser scale, the corn farmer in Iowa benefits from poor harvests in the Soviet Union, and the coffee grower in the Nilgiri Hills of South India prospers when frosts hit the coffee-growing areas of Brazil. In Iceland a plant near Reykjavik processes bauxite from Africa and ships aluminum all over the world. Examples proliferate. In numerous ways, large and small, the affairs of every nation now impinge on every other nation, while industrial pollution raises threats to the durability of "spaceship earth" as a vehicle for human life.

An all too ironic fact is that the bringing of the world's peoples closer together in time and space has not in many cases generated greater amity or even tolerance among them. Instead, it has often generated friction and disagreement because of competing interests, economic disparities, inter-cultural differences and misunderstandings. In this sort of tense, shrunken, and interdependent world, the United States cannot stand aloof, unaffected by what goes on out across the Atlantic and the Pacific. The problems and the promise there are not just on our doorstep; they reach into our homes and into our offices, as the country's enormous trade deficit and the U.S. hostages held in Lebanon both forcefully illustrate.

All this calls for determined and extended educational effort in America to develop knowledgeable citizens who can understand such complexities without being intimidated or "turned off" by them and who also can appreciate cultures other than their own, including how they may lead to different points of view than ours. It is when we can understand and even respect such differences that peaceful, negotiated settlements are likely. The obverse, parochialism, more often than not spawns either short-sighted indifference or excessive bellicosity.

This is no new call. Since World War II, it has been sounded by a number of studies and national commissions -- most notably in the foundation-backed Morill Report of 1961, Education and World Affairs, and the 1979 Report of the President's Commission on Foreign Language and International Studies, appointed by President Carter (more commonly known as the Perkins Report, for its chairman, James A. Perkins), entitled Strength Through Wisdom: A Critique of U.S. Capability. Shelf-loads of books and monographs on aspects of international education are now to be found in university libraries across the country, and educational journals contain a plethora of articles on the subject. More importantly, with the aid and encouragement of several of the major foundations in the 1960's and the Title VI grants of the Federal Government since the late 1950s, the capacity of the nation's universities and colleges in trained faculty and library resources relating to international affairs and non-western cultures has made a quantum leap forward compared to conditions prior to World War II. As the Perkins Report firmly documents and makes eloquently clear, however, American higher education has a long way to go before it will be adequately preparing the major portion of its graduates to understand the nature of the larger, international world in which they will live and work.

Striking in all the literature mentioned above, is the dearth of studies that bear directly on that small, but significant part of the American educational scene with which we are concerned in this survey -- namely, the quasi-professional schools that seek to turn out practitioners broadly prepared to operate in the arena where international and national, public and private interests interact and commingle.

Enrolling altogether some 3,300 graduate students and producing some 1,100 holders of advanced degrees each year, the thirteen member institutions of APSIA represent a small fraction of international education in the United States. Yet, they are singular and significant in their principal commitment -- the preparation of men and women to be knowledgeable and effective actors in lines of service and employment with international dimensions.

Gone are the days when a high-ranking diplomat did not have to be conversant with complex matters relating to economics, technology, and social change. So, too, are the days gone when a leading commercial banker was well served with knowledge only of the domestic economy or could ignore the political implications of international financial balances. The education offered in the APSIA schools is therefore heavily multidisciplinary in order to prepare graduates for a world in which issues seldom present themselves tidily or exclusively as economic or political or social. In this respect their graduates will be better adapted to the "real world" of action and affairs than are their many more numerous contemporaries holding degrees in a single academic discipline. And while some business schools now include an international component -- one or two have put a special emphasis on it -- the much larger numbers of MBA's issuing from them, generally, do not benefit from as broad or as deep an exposure to international affairs and foreign cultures as do the APSIA graduates.[1]

In brief, although the APSIA schools educate a small proportion of the nation's graduates, they turn out the sort of graduates needed by more and more organizations both public and private in today's world of interdependent nations and enterprises. Their alumni are the prototype employee of the future -- prepared to face problems and make decisions that are cross-disciplinary and set in an international framework. They thus bring to work of an international cast a comparative advantage that needs to be better articulated by the Schools and better recognized by potential employers.

These generalizations characterize the APSIA schools looked at collectively. As previously indicated, when one seeks to draw comparisons among them, they display many differences -- and not the least in how they pursue the general objectives at which we have just been looking.

Most of the Schools, for example, include in the instruction they offer substantial work in policy analysis and choice, but three (Denver's SIS, Washington's Jackson School, and Yale's CIAS) proclaim themselves as centers for International Studies, rather than Affairs or Relations or Service. The varied nomenclature may mainly reflect historical vagaries, but at the Master's level the designation "Studies" in these Schools seems in some measure to reflect concern for academic learning as such as against attention to policy analysis, contemporary issues, applicable knowledge, and the processes of decision making.[2] There is, to be sure, no clear-cut dividing line between these emphases, and none of the Schools leans exclusively to one extreme or the other.

Again, in two of the Schools just mentioned (the Jackson School and Yale's CIAS), there is a heavy reliance on, and deliberate engagement of, other Schools and Centers of the two universities. This is particularly so for practical knowledge desired by their students as, for example, about business practices or in applied developmental economics. In contrast, at George Washington until the spring term of 1987 literally all courses taken by SIA Master's level students were in the liberal arts departments. Under the reorganization in process, some graduate courses are now offered by SIA itself, but most remain in the departments. In most of the other Schools the instructional program is more self-contained, although electives may be pursued in other parts of the university, and faculty from arts and science departments may be involved in teaching within the School.

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[1] For those Schools which include concentrations in domestic public affairs, Princeton's Woodrow Wilson School and Pittsburgh's Graduate School of Public and International Affairs, one can add familiarity with governmental processes as an additional advantage.

[2] The new School at UC San Diego seeks to have it both ways in terming itself the Graduate School of International Relations and Pacific Studies. More detailed comparisons of the practices of the 13 Schools in this and other respects are drawn in the sections that follow on Curriculum and Pedagogy.

Some Schools (most notably Georgetown and SAIS) have far stiffer foreign language requirements and offer their students more assistance in meeting them than do the rest. Such, too, are the plans and preparations at San Diego. Elsewhere the differences in what the several Schools require and provide with respect to foreign languages runs the gamut from nothing to a great deal.

Columbia's SIPA and Washington's Jackson School each incorporate a battery of very strong interdisciplinary Area Studies centers or institutes which historically preceded their International Affairs/Studies Master's programs. The former provide the latter a particularly rich cultural context. Most of the other Schools offer concentrations in a half-dozen or so foreign countries or regions, but their weight within the Schools is less striking. American, while permitting regional specialization in its M.A. in International Affairs, encourages students with area competence to earn degrees reflecting functional specialization -- i.e., an M.A. in International Communication, an M.S. in International Development Management, a joint J.D./M.A. degree, and a PhD in International Relations. Meantime, two Schools (Pittsburgh, Princeton) do not provide for foreign area concentrations other than as electives taken outside the School.

That peculiarity reflects the fact that Pittsburgh and Princeton enroll students to concentrate on either domestic or international public affairs, and neither offers the split, two-track curriculum of Columbia's SIPA leading to distinct MIA and MPA degrees. Whereas they face no foreign language requirement, students at Pittsburgh and Princeton electing to concentrate in international affairs are generally expected to bring some foreign language competence with them at entry and are encouraged to maintain and advance it en route to the degree.[3]

In the same Schools, students believe that they gain from greater exposure than in the other Schools, both in and outside the classroom, to domestic public issues as well as from an emphasis on the acquisition of analytical tools useful regardless of geography and culture. But these differences again are matters of degree. In all the Schools some deliberate attention appears to be given to the bearing of the U.S. politico-economic system on its foreign policy and to the frequent interaction of domestic and international affairs.

Several of the Schools (notably, Georgetown, Princeton, Yale) restrict their admissions severely in order to insure relatively small entering classes, close faculty-student interaction, and very high standards of student performance. This is not to imply that the latter two characteristics mark only those three institutions but is rather to point up an important variation at American and George Washington. While still admitting only about one out of four applicants, they have deliberately opened their doors to part-time students and thus can serve much larger numbers of able aspirants than could manage or afford full-time enrollment.[4]

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[3] In the body of the study, curricular requirements reported for Pittsburgh and Princeton will be those faced by concentrators in international affairs.

The locations of the institutions lead to further differences. The four Schools located in the District of Columbia can and do much more easily involve in their instruction experienced practitioners (many holding advanced degrees) as adjunct faculty and part-time lecturers from agencies of the Federal Government than can the Schools located elsewhere. Similarly, Washington's Jackson School and the new School at San Diego set their sights principally on the affairs and constituencies of the "Pacific Rim." Yet, it is not conversely true that the east coast Schools any longer center their attention primarily on Europe. Third World and East Asian concerns tend to be among their prominent interests.

All this diversity, and more, presents certain obstacles to tidy analysis; yet, the differences are not entirely haphazard. As suggested earlier, in terms of study, they reflect the many kinds of knowledge, inquiry, and analysis required to comprehend fully the complex, demanding, shifting world of nations, enterprises, and peoples in which we live. And in terms of action, they embody the need in international affairs for persons who not only possess broad awareness but also are able to manage one or more substantive or functional capabilities.

A broad, multidisciplinary and cross-cultural perspective is normally an asset in dealing with international problems, but beyond that, some tasks "out there" require more familiarity with law, others with economics, others with international political relations, others with business methods, others with a particular foreign culture, and so on. No two- or even three-year curriculum can prepare all students to cope with the full gamut. And since no student is going to be equally gifted or adept across such a spectrum of possibilities, it is right that he or she should be able to develop suitable sorts of special competence alongside a desirable measure of breadth.

In fine, the needs and opportunities which the international arena holds out to those who would exercise in it (and earn a living) are varied. They call for the engagement of a wide range of interests and talents. The differentiated offerings of the APSIA schools serve the overall requirements better than could common, homogenized programs.

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[4] The extent to which a School is "tuition driven" also bears on the extent to which it can or cannot limit its enrollment. American University and SAIS are two places where the need for tuition income to maintain existing faculty and programs dictates a somewhat larger student body than the deans, faculty, and enrolled students would prefer.

II. MISSION, CURRICULUM, TIME TO DEGREE, AND MARKETS:

The four subjects of this chapter all intersect and, to a degree, condition one another. With that recognition in mind, they will be treated seriatim.

1. Mission:

Well-established professions such as engineering, law, or medicine, are generally characterized by three features: (1) possession of a large, complex, but well organized body of knowledge; (2) certain well developed methods, techniques or skills for the application of that knowledge; and (3) some certifying procedures indicating that institutions are adequately equipped to offer good training in these matters and that individuals are sufficiently versed to be trustworthy practitioners.

Against this measure, the APSIA schools are at most partially professional. International relations in its political, economic, social, and cultural manifestations does, indeed, constitute a large, complex, and now quite highly developed body of knowledge. It is probably not much more internally fractured into discrete intellectual disciplines than are engineering or medicine, and significant interdisciplinary and cross-cultural bridges have been and are being built that help pull the field together. In terms of their subject matter, then, the APSIA schools can probably be said to be "professional."

Very notable in the APSIA Schools are the differences in the degree and manner of concern displayed toward imparting to students the methods and techniques for applying prevalent theory and accumulated knowledge to "real world" situations. While educational programs and methods are by no means uniform in any of the established professions, none of the APSIA Schools appear to inculcate the techniques of practice as intently and thoroughly as do most schools of business, engineering, law, and medicine. This is so despite now widespread recognition that the skills entailed in quantitative analysis, micro-and macro-economic training, and elements of business and organizational management are broadly serviceable for practitioners in both the public and private sectors of international affairs. Illustrative are San Diego's decision to incorporate accounting among its core requirements and the number of students who have perceived accounting's utility and have elected to add it to their repertoire when it is not an institutional requirement. The same can be said for the more utilitarian elements of economics.

On the other hand, students and faculty in the APSIA Schools who have also experienced traditional professional education, as in law, find a different, more spacious intellectual atmosphere in the schools of international affairs. It is a difference many of them appreciate. They welcome a more flexible curriculum and the opportunity to tackle big questions pertaining to matters such as national security, world order, the causes of wars, and the grounds of peace.

In the realm of instruction there is growing recognition, which pre-dates but now is being greatly stimulated on five of the campuses by the Pew Charitable Trusts, that role-playing aimed at policy analysis and decision making can help to prepare those who intend to be doers as well as knowers, actors and not only analysts, in international affairs. Both among the APSIA Schools and even within them, however, no consensus exists on either a methodological curriculum or a favored method of instruction. So, by commonly accepted standards, professionalism must be said to remain inchoate in the APSIA Schools. As a consequence, any notion of institutional accreditation procedures is highly premature and may, indeed, never prove fruitful.[1] However, some periodic process of review may be useful to make both the APSIA Schools and the broader public concerned with international affairs education aware of trends and differences among the Schools.

Most of the APSIA members state their purposes in terms of the kind of learning they seek to impart, the sorts of graduates they aim to turn out, and the types of employment for which the latter have proved to be well equipped. The statement of SAIS is comprehensive and illustrative:

> The School of Advanced International Studies--SAIS--of The Johns Hopkins University in Washington, D.C. provides graduate training to men and women planning careers in government, international public service, business, banking, journalism, teaching and research. Since its founding in 1943, SAIS has pursued three primary goals:
>
> - To provide a professional education that adheres to the highest standards of scholarship and is at the same time relevant to contemporary problems in international affairs.
>
> - To conduct scholarly research that addresses the concerns of the United States and its public and private institutions in their relations with the governments and institutions of other countries, and to disseminate the research findings to a broad audience concerned with foreign relations.
>
> - To offer mid-career educational opportunities for those already working in international affairs.
>
> SAIS is neither a vocational school nor a purely scientific or liberal arts school dedicated to the pursuit of learning for learning's sake. It seeks to relate academic learning to the expanding variety of private and public activities involved in relations among governments and national societies.

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[1] An interesting historical sidelight is provided by the catalogues of Princeton's Woodrow Wilson School which from 1961-62 through 1976-77 offered categorizations of professional education, against which it judged that education for public and international affairs had not yet achieved professional status. Since 1977-78 references to a professional standard have been dropped.

Not all of the APSIA Schools have either the commitment to research or the involvement in mid-career education that SAIS does, but a number emphatically do. Other schools make more explicit what is implicit in the SAIS statement--namely, that a central aim is to turn out generalists, equipped with knowledge and skills that will prove applicable over a variety of careers, rather than narrow specialists.

In virtually all of the Schools, nevertheless, a certain degree of tension exists in this aspect of their mission. Decreases in the number of jobs in the public sector coupled with the rise of more lucrative job opportunities in the private sector -- especially in investment banking -- have heightened the tension. We shall come back to this matter of altered markets. Here, it only needs to be noted that both alumni in the private sector, now cultivated as openers of employment doors, and students with sharp eyes toward personal advantage are putting heightened pressures on many of the Schools to include more instruction that will be immediately useful in the commercial marketplace.

Overall, curricula show some shifts in that direction, both in terms of internal offerings and by the cultivation of relations with professional schools inside and outside the parent university. Columbia's SIPA, for example, now offers combined degree programs with six professional schools. SAIS has reached out for combined degree programs with Pennsylvania's Wharton School of Business, Stanford's Law School, and Hopkins' School of Public Health and Hygiene, while Princeton offers combined degrees with the Columbia and NYU Law Schools. Roughly one-quarter of the course work of the students in Yale's CIAS now goes on within Yale's School of Management. Of a normal entering class of 70 students at Georgetown, 15 are enrolled in joint degree programs in either the University's Law School or its Graduate School of Arts and Sciences.

Much longer established are cross registration arrangements at the Fletcher School with Harvard's professional schools, which go back to the former's start 50 years ago. Fletcher students today regularly cross-register at Harvard's Law, Business, and Kennedy Schools.[2] American University's international master's programs are somewhat distinctive with respect to the tension between generalization and specialization. There it appears to have been resolved less toward the production of generalists than elsewhere. Specifically, SIS offers four Master's degrees of which three are quite specialized, focussing on communications, development and development management. A joint JD/MA with American's Law School is also part of the bill of fare.

A second tension within the APSIA schools has already been touched on. It is the extent to which the School is aimed at producing knowers or doers. The SAIS statement quoted above expresses well the golden mean, the ideal balance and desirable interanimation, between academic learning and practical activities -- between "the highest standards of scholarship" and "relevan(ce) to contemporary problems in international affairs."[3] All the Schools would claim this goal, presumably, but in fact some slant more toward producing graduates who are well versed in learning concerning international matters, while others more deliberately aim to equip their graduate to be knowledgeable doers in the international arena.

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[2] The balance of trade, with Harvard registrants at Fletcher, is reported to be roughly equal.

A striking duality in the relatively new International Studies Master's program at Washington's Jackson School reflects this mission-related tension. To achieve applicable capabilities each student is expected either to be pursuing a degree in one of the University's professional schools or to already have such a degree or professional background. Within the IS program itself, the emphasis is all the other way. In the words of its Director, "The interest here is not in decision making but in why the world is as it is."

Among the other Schools, the duality formed by learning and application is not nearly as dichotomous, but the tension is there. Gradations in the degree of attention accorded the traditional learned disciplines on the one hand, as against the effective application of knowledge on the other, are treated more fully later on in the sections of the study dealing with curriculum and pedagogy. But, again, no School has chosen to renounce entirely one side of this polarity for the other -- to pursue learning regardless of use, or use regardless of learning. A collective characteristic of the Schools is their embrace of both missions, albeit in varying measures.

2. Curriculum:

The great variations from School to School in curricular requirements, organization of the course of study, and range of instructional offerings are probably best grasped through the comparative Attachments that follow the text. They cover admission requirements (#2A), core requirements (#2B and #3), fields of concentration offered or required beyond the core (#4). Foreign language and foreign area study offerings and requirements are grouped in Tables #2 and #3 of Chapter III.

Columbia's Catalogue offers one outline of a comprehensive curriculum for the development of a knowledgeable and effective international affairs practitioner: --

> Every student of international affairs, regardless of specialization or ultimate career interest, should have graduate-level training in international politics, law, policy formulation and economics. The student should also be familiar with the history, society, and politics of at least one major foreign country or region of the world. A professional in international affairs should be trained to apply the analytical tools of political science, economics and the

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[3] A quondam classicist may perhaps be permitted to point out that Aristotle's doctrine of the mean does not call for pursuit of the path of least resistance but rather for a creative resolution of tensions.

> law.... Every professional should also be capable of conducting and evaluating statistical analyses.

Some might quibble about the concept of "training" or about the term "professional in international affairs", but, those things aside, it is all there: methodological skills, functional competence and/or specialization, understanding of a foreign region. Conjoined to a multi-disciplinary approach featuring the social sciences, these form the main framework of most of the APSIA curricula.

Even at Columbia, however, the faculty is apparently unwilling to demand of students such scope, and indeed, for students to encompass it is not always a simple matter. The required field of specialization permits a choice between a functional concentration (e.g., economic and political development, international security studies) and a concentration on a foreign region. Students may bridge by means of electives or by choosing courses that serve both purposes (e.g., contemporary African Politics, Latin American Economy, etc.) and many at Columbia do so. Thus, in the 1986-87 academic year, 420 MIA candidates there produced 374 enrollments in 12 possible functional specializations and 292 enrollments in the eight available regional concentrations. That works out to an average of 1.5 concentrations per student, with 44% of the total being regional concentrations and 66% functional. Even these numbers, the Dean's office holds, do not fully reflect the extent to which by choosing dual purpose courses and other relevant electives Columbia's MIA students graduate with both regional knowledge and some functional competence.

Both phenomena appear common. The required course of study, as illustrated in Chart #1 which follows on pages 17-18, offers students a choice between a functional and a regional concentration. Many students nevertheless disperse their course selections wisely and more broadly than the faculty requires to gain some competence along both lines.

The existing APSIA curricula suggest that if it could be capacious enough, an ideal curriculum would consist of the three principal elements, or kinds of learning, mentioned above, with a sizeable number of subjects to be included within each element.

The paradigm that emerges looks like this:

1. Special tools or methodologies, such as:

    Quantitative analysis (statistics,
    computer literacy)
    Economic analysis (micro- and macro-)
    Accounting
    Management techniques
    Political and organizational analysis
    Public policy analysis and program evaluation
    Foreign language competence
    Techniques of social science research
    Historiography
    Etc.

2. Functional competence, as in:

   International Relations (and Diplomacy)
   International Political Economy
   International Economics, including Finance and Trade
   International Law and Organizations
   International Business
   Economic (and Social) Development
   Comparative and Cross-National Studies
   National Security Issues
   International Science and Technology, Policy and Management
   History of United States Foreign Policy
   Etc.

3. Foreign area understanding or familiarity, including ideally the chosen region's:

   History
   Political system
   Economics
   Foreign relations
   Culture

A few broad comments on this paradigm.[4] First, the study of history and the social sciences is offered both within and as background to these curricular elements, but the social sciences gain much more consistent attention than does history. Second, among the special tools or methodologies, those near the top of the listing (above foreign languages) seem to appear more prominently in Schools committed to policy issues and decision making, while those listed lower are featured more where scholarship and area studies are dominant influences. Third, it should, of course, be recognized that there are general skills, distinct from the methodologies listed, to whose cultivation many of the Schools explicitly give attention. Important among them are the ability to write, speak, and think clearly about complex, even messy issues -- and not only when at leisure but also under tight constraints of time. Here again, attention to the honing of such abilities appears most characteristic in the policy oriented Schools.

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[4] The former Dean of Denver's GSIS points out that this paradigm formed from existing PSIA curricula reflects the empiricism of the 1960s. He would prefer a definition of an ideal model grounded more on the theories that now govern international studies. Accordingly he would give primacy to philosophy, epistemology, and history and would play down the mastery of tools and methodology. His comments highlight the tension between theory and practice, learnedness and activism, that we have seen to exist within and among the APSIA Schools and particularly strongly at the level of their Masters degree programs.

Also to be noted is that this paradigm is based on the international affairs/studies Master's degree-track of the APSIA Schools, not the specialized degree-tracks that may run alongside it -- e.g., Security Policy Studies at GWU, International Communications at American, etc.

To traverse a curriculum as comprehensive as the one just outlined would doubtless take even a very well prepared student upward of ten to a dozen years. Even if it were a desirable undertaking (which is doubtful), it is beyond belief that such a program would be salable. Choices have had to be made -- constricted and constricting choices -- to shape actual, serviceable, marketable courses of study.

To compare the choices made, with their often very different emphases, we have drawn up the rather complex chart that follows on pages 17-18, entitled Curricular Rudiments. It seeks to put in compact, visual form comparisons which are laid out more fully in the Attachments previously referred to. A number of highlights are noteworthy. There emerges, for example, a liberal academic philosophy at American University, reflected in few specific academic course requirements and maximum flexibility for student choice. In contrast is Georgetown's more conservative battery of nine required core courses, which insures for its graduates greater breadth of background and a large body of shared knowledge. San Diego's course requirements are even more numerous, but not because of a pedagogical conservatism as much as to encompass all the tensions that have pulled other, older curricula in diverse ways. Quantitative analysis and foreign language competence, history and social science, functional concentration and foreign area concentration, breadth and specialization: they are all there. And to be on the safe side with respect to the hoped-for business and financial "markets" for its students, accounting appears among the required tool courses -- the sole case, so far, where that is so. (The quarter-system of UCSD, of course, permits the inclusion of four more courses per year than does the semester-system of most of the other APSIA Schools. Greater comprehensiveness, however, also means, that each subject comes in a smaller dose.)

Another phenomenon that emerges from this chart is the emphasis given by Pittsburgh and Princeton to the inculcation of methodological skills (like quantitative analysis, administrative theory, political and organizational analysis, micro- and macro-economics) that they consider will be serviceable for their graduates in a variety of circumstances, public or private, at home or abroad. A consequence is less attention to history and less breadth in the social sciences, than at such other schools as Columbia or Denver or SAIS.

Chart #1
COMPARISON OF CURRICULAR RUDIMENTS AS REQUIRED OR STRESSED IN THE APSIA SCHOOLS

Symbols:

X = required academic discipline or major division of learning.
# = requirement of a field of concentration (usually optional in content but not in number).
* = required semester or quarter course.
c = required number of optional courses within chosen discipline or field.
E = field competence tested by examination; number of courses indefinite.
i = indefinite number of course requirements in field or discipline.
FL = foreign language requirement:
(0) = None, but usually looked for and encouraged.
(1) - (5) = level of required competence, generally along FSI standards, but down-graded where only reading ability required.

PSIA	Tools/Methods	FL	Functional Competences	For. Area Studies
American Univ., SIS	**	(2)	# E, # E	#E
	option		option	
USCD, IR/PS	**	(3)	X ***, X *** X ***, X *** X cc # ccc	# ccc
Columbia Univ., SIPA	*	(3)	X c, X c X cc, X cc X cc # ccccc	# cccccc
			option	
U. Denver GSIS	ccc	(2)	X **ccc, X **ccc X **ccc *cccc # or *****	# i
			option	
Georgetown Univ., SFS	*	(3+)	X **, X ** X **, X ** # ccccc	# ccccc
			option	
George Washington Univ. SIA		(2)	X i, X i #**E, #**E, #**E	# ccE
			option	

PSIA	Tools/Methods		Functional Competences	For.Area Studies
		FL		
Johns Hopkins Univ., SAIS		(4)	X E, X E, X E # E # cccccc	 # ccccc
			option	
U/Pittsburgh GSPIA	****	(0)	# cccccc	
Princeton Univ., WWS	****	(0)	# ** E	
Univ. So. Cal. SIR	**	(2)	# **c or ccc	 # E
			option	
Tufts Univ. FSLD		(2 & 3)	X cc, X cc, X cc # 1-2 * + 1-2 c # 1-2 * + 1-2 c # 1-2 * + 1-2 c	 # ccc
			option	
U/Washington JSIS	**	(2)	# *** (core) # E (prof.) # ccc	 # ccc
			option	
Yale Univ. CIAS		(3)	X cc, X cc, X cc # cccccccc	 # cccccccc
			option	

NOTA BENE:

1. This chart is confined to IR programs and does not include joint-degree programs or separate, collateral Master's programs, such as International Communications or Regional Area degrees.
2. The chart also ignores admissions requirements; nor does it take into account electives outside the number required (c's) within field and disciplinary requirements.
3. The division between methods and functions is, of course, not absolute, and Area Studies can include both. The distinctions here seek only to represent relative emphases in the various PSIA's.

The views were earlier expressed that a high measure of diversity in the offerings of the APSIA Schools finds a match in the manifold character of the off-campus world of international affairs, and that for prospective students to have wide choices in finding programs of study well suited to their particular talents and interests is a good thing. Yet, one may wonder whether there should not be some common body of knowledge to provide holders of master's degrees in international affairs with a broad and shared plane of reference -- comparable, say, to the organic chemistry, anatomy, and physiology that all budding physicians must master.

An external committee that in 1981 examined the educational philosophy and curriculum of the Norman Paterson School of International Affairs of Carleton University, in Ottawa, concluded that, at least for that School, there should be "a common professional and intellectual base" established for all students.[5] Specifically the committee proposed that it comprise "compulsory courses covering such basic areas as International Economics; International Politics; International Law and Organization; Modern Political and Diplomatic History."

To date the Norman Paterson School has not accepted this recommendation -- which in its case would require extension of the Master's program from one year to two. Nevertheless, the proposal makes good intellectual and pedagogical sense. The APSIA Schools that do not now approach it might do well to consider such a step seriously. A systematic address to the foundations and content of the modern international order and system would, as the Canadian report argues, preclude what are often fundamental gaps both of substance and of perspective in what graduates take with them as they enter the actual world of international affairs.

A serious problem with the institution of a required base of this type is to find the faculty who will teach it with enthusiasm year after year. American academia is littered with the remnants of once vital, broad, required distribution courses that have lost their spark, largely because they have passed into the hands of a second generation whose interests and commitments lie elsewhere -- usually now in more specialized sorts of learning.

SAIS, it appears, is experiencing some of this difficulty with the courses offered in its core subjects, which somewhat parallel the Canadian proposal, so that the whole idea of that core is under reexamination. The institution and maintenance of a broad common intellectual base of the sort outlined should not, however, be beyond accomplishment where there is the will for it.

Indeed, the Fletcher School's curriculum is organized in four "disciplinary divisions" that correspond quite closely to the topics proposed in the Canadian report as a common base, and Fletcher students are required to select two courses in each of three of the divisions.

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[5] Report on the Norman Paterson School of International Affairs: Its Present and Future, (Ottawa, September 30, 1981) pp. 22-26.

The core requirements at Columbia and Yale also approach the proposed Canadian model in conception, although there, as at Fletcher, the base is perhaps less firm because it is built out of elective rather than required courses in the several specified subject-matter areas.

3. Time-to-the-degree:

Almost all of the APSIA Schools are firmly wedded to a two-year Master's degree, and an effort to determine differences between advertized length of course and actual average time to the Master's degree failed to show notable lags.[6]

The usual two-year program necessarily imposes constraints on the amount and range of the instruction APSIA students can be expected to absorb. When, for example, Princeton makes four required methodological courses its curricular "core" and there are concentration requirements as well, not much room is left either for study of a foreign region or for building the broad substantive intellectual framework discussed a few moments ago. The constraint of time forces trade-offs.

For students who enter with strong preparation in international studies or extensive personal experience relating to another part of the world, these constraints are less limiting, of course, than they are for others. And many of the students the APSIA schools attract do seem to carry these advantages. Since American University, for example, admits only about one out of four applicants, it can expect and largely require that those who enter will have had a good grounding in international affairs, including some foreign area exposure prior to enrollment. It therefore can concentrate on helping students to hone some functional skills and thereby point them toward productive outcomes. In the judgment of its Dean, two years are sufficient to do that well enough to satisfy prospective employers. A third year would be superfluous.

Decanal opinion is by no means unanimous on that. As noticed earlier, the Jackson's School's new International Studies master's program already normally runs to three years in order to permit simultaneous enrollment in a professional school. Princeton, which can be equally selective in its admissions and San Diego, which also certainly will be, are both aware that to send out graduates who are competent in a functional specialization and also have more than a glancing familiarity with a foreign region and its language may often call for a third year as a programmed feature in the Master's degree.

Individual students may, of course, lengthen their study beyond the announced two academic years or less. Common reasons for their doing so are the need for extra time to meet the language requirement (where it exists) and the necessity of earning money to meet educational expenses. As already indicated, however, we failed to track down the frequency of these delays.

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[6] In reporting, the Schools uniformly excluded time students may have spent away from the School to earn money or gain foreign language competence or get over illness while en route to the degree. So, measured in quarter-or semester-hours of study, the listed and the actual time to the degree ended up being the same.

Such lags and the three exceptions noted apart, the APSIA Deans and Directors seem quite unprepared to countenance an extension in time for the Master's degree. Initial queries put to them included these: "Given the complexity of world affairs and the apparently increasing demands for various sorts of specialized competence, can a two-year degree program still be thought to provide adequate 'professional' preparation for persons seeking degrees in international affairs? Even if a three-year degree might be preferable, is it marketable other than as a joint degree program with, say, business or law"?

Responses revealed no disposition to consider a self-sufficient three-years Master's program except as noted above. The reason in most cases was strictly utilitarian. Lengthening the degree would divert to MBA programs too many of the ablest young people interested in working in international business and banking. Moreover, the employment record of most Schools looks very good; so, they also do not perceive a market-dictated need for longer, fuller degree programs.[7] This sense of being in competition with the Business Schools and an expectation that that competition will intensify were encountered repeatedly.

4. Markets:

A problem felt to be immediately serious by some APSIA Schools, but less pressing by others, has arisen from a decrease of job opportunities in the foreign affairs agencies of the Federal Government over the recent years and the need that APSIA graduates are now likely to face to compete with the graduates of business schools for jobs in the private, for-profit sector.[8]

All but three of the APSIA Schools had their origin in the increased international responsibilities thrust on the United States in the aftermath of the World War II.[9] A new and dynamic era of expanding international interests and obligations called for the development of persons competent to serve these interests and obligations as knowledgeable and effective practitioners. In the universities the relevant established disciplines of learning were generally too abstract and theoretical to meet the needs for applicable knowledge and a practical outlook suited to the conduct of international affairs. Among the important responses of the universities was an upgrading of the few existing schools of international affairs and, elsewhere, on various campuses the establishment of new ones to stand alongside, but distinct from, both the traditional arts and sciences disciplines and the established professional schools of business, journalism, law, and the like. Often these creative responses were stimulated and encouraged by distinguished public servants and other concerned citizens of the World War II generation who also helped them gain the support of wealthy individuals.

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[7] See p. 27.

[8] An informative, if perhaps somewhat overdrawn discussion of this problem and of its implications for the Schools and their graduates appears in an article by Roger S. Leeds, "Graduate Education in International Affairs: A Discipline in Transition," SAIS Review, Fall, 1986, pp. 205-218.

Initially, the Federal Government and particularly its Foreign Service was the principal employer of the graduates of these new Schools, and it was toward service there that the Schools very largely shaped the education that they offered. Through the 1960's and into the 1970's this continued to be so. Meantime, the overseas interests and obligations of the U.S. Government continued to grow and require additional international servants. Even while decolonization brought dozens of new, sovereign nations onto the international stage claiming attention, the internal international-service needs of the Government grew and spread far beyond the conduct of traditional diplomatic and consular relations. They extended, for example, into large-scale and widespread development assistance, public diplomacy, international science and technology, issues of energy supply, the resources of the ocean, world population problems, the health of the global environment, and many other areas. In the APSIA Schools, faculty interests and curricular offerings tended to broaden and reach out accordingly. Correspondingly, too, a number of the Schools (particularly American University, SAIS, USC, and Fletcher), permitted enrollments to rise markedly with a view to meeting rising student interest, funding more extensive faculty capabilities, and servicing an enlarged variety of international public service needs.

Private sector employment seems never to have been entirely outside the purview of the APSIA Schools. From the start both business and the big foundations with international interests attracted some of their best graduates. But in the decades since World War II, American businesses and banks have, like Government, also found many reasons to become progressively more engaged around the world, and some at least have recognized the advantage of employing persons with international expertise. Consequently, larger proportions of the APSIA graduates have been finding employment in American financial houses, banks, corporations, consulting firms, and other for-profit organizations. Using apparently 1983 data, Roger Leeds found that in five well-established eastern Schools, the largest numbers of graduates were entering careers in the private sector rather than in government.[10]

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[9] The School of Foreign Service at Georgetown was founded in 1919, Princeton's Woodrow Wilson School in 1930, Tuft's Fletcher School in 1933. The last of these three was the first school to be exclusively devoted to graduate study in international affairs, and Fletcher was for many years the only School graduating significant numbers of students with master's degrees in international affairs. Generally, the emergence of the APSIA institutions as significant graduate schools is a post-World War II phenomenon.

Since Marshall Plan days, when roughly 10% of the Federal Budget was committed to international relations activities, that percentage has steadily decreased. By 1985 it had fallen to 2.5%. In 1987 it had further been reduced to about 1.7%. The impact of this negative trend on the manpower of the country's principal foreign affairs agencies (State, USAID, and USIA) has obviously been severe, although its effects on new hires and staff-levels in exact numbers are not readily available.

Over the same period, however, the line between public and private in furthering public policy purposes has become blurred. Much of the public's work is now being carried out by private organizations -- e.g., consulting firms, law firms, defense contractors, public/private partnerships in economic development, etc. -- and the opportunities these have provided have proved highly attractive to APSIA graduates.

The growth of employment opportunities in such organizations and elsewhere in the private sector has unquestionably been a lifesaver for many of the APSIA Schools. Not only has there been the shrinkage in positions in the traditional foreign affairs agencies, but also, many of the ablest students in the APSIA Schools no longer look on entry either into the once prestigious diplomatic corps or into other parts of the Washington bureaucracy as challenging and desirable. Many now look instead to opportunities in the private sector and do so not simply because of the lack of jobs in government, but rather because they see business and banking to be where the challenging "action" is. There, too, lie greater chances to contribute to decisions and to policy at earlier stages of a career than in government. In addition, the pay is usually much better, even for a beginner.[11]

An important partial exception to the preceding generalizations is provided by the Presidential Management Internship Program. Initiated by

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[10] R. Leeds, op. cit., p. 209, p. 213. Princeton was the only exception to this finding; the other Schools surveyed were Tufts' Fletcher School, Columbia's SIPA, Georgetown's SFS, and Johns Hopkins's SAIS.

[11] There are of course exceptions. Some recent graduates who had accepted the lure of the private sector have found it less challenging and psychically rewarding than advertized. For them work in government has taken on fresh appeal. This "word" may be beginning to get around.

President Carter to attract into Government fresh talent trained for public administration, PMI was reorganized in 1982 by the Reagan Administration to cover much wider forms of preparation for government service. It now annually brings into a wide spectrum of the Federal agencies 200 highly motivated, very able, carefully screened, and rigorously tested young men and women. More of the agencies each year have been using it to get their professional entrants because of the tested quality of the PMI's.

Since 1982, students in the APSIA Schools have proved to be increasingly interested in the PMI Program and also increasingly successful in securing internships. Thus in the 1987 program year, of 92 degree-granting programs that produced the 202 winners and 22 alternates chosen, 35% have come out of ten APSIA Schools, as follows:

American	8 winners	1 alternate
Columbia	14 winners	1 alternate
Georgetown	10 winners	1 alternate
George Washington	2 winners	1 alternate
Hopkins/SAIS	7 winners	1 alternate
Pittsburgh	6 winners	1 alternate
Princeton	12 winners	1 alternate
Tufts/Fletcher	5 winners	2 alternates
Washington	4 winners	
Yale	1 winner	
	69 winners	9 alternates

The Chief of the PMI Program reports that the Federal agencies look at interns first to see if they have trained skills relevant to the particular agency, but since many Federal agencies now have some form of international involvement, the international education possessed by the APSIA interns gives them a competitive advantage in many cases.

The PMI's of APSIA origin now serve in a wide variety of Federal positions, as do the APSIA graduates who have entered Government service by other routes in recent years. For example, the first jobs of the Master's graduates of Georgetown and Princeton from the years 1983-86 were distributed in 27 Federal agencies. The fact demonstrates that, as previously suggested, even while employment opportunities have shrunk drastically in the traditional foreign affairs agencies, like State, AID, and USIA, other of the Govenment's agencies have experienced increased need to have on board persons prepared to tackle the international dimensions of their work.

Within both the public and the private sector, it is to be noted parenthetically, special problems appear now to be arising for graduates interested in employment in the area of economic and social development. Like the government agencies the PVO's are looking for previous overseas experience and often for extended periods of it. Unless candidates have had Peace Corps experience or some such other special earlier hands-on opportunity, employment in international development activities appears to be a narrowing gate for graduates just emerging from the APSIA Schools.

Striking for the writer has been the number of students with an eye out for the business market, at least as the place of first employment. Often by means of elective courses they had gone well beyond their Schools' requirements for quantitative analysis and economics in order to equip themselves with skills and knowledge likely to make them attractive to recruiters for corporations and banks. The students also, quite rightly, perceive that most American companies, even those with extensive international involvements, usually weigh business-related skills much more heavily than they do international expertise when looking at candidates for employment. This is not to say that possession of an education in international affairs is totally irrelevant in the hiring practices of international businesses and banks, but it is almost always, at heart, a secondary consideration.[12]

Another factor pushing APSIA students toward work in the private, for-profit sector is the indebtedness many have acquired to meet educational costs. Among those interviewed, an indebtedness of $20,000 for the graduate school years alone was not thought aberrant. Average indebtedness, where data were available, ranged from a low of $4000 at Washington's Jackson School to $12,7000 and $12,914 at Georgetown and Columbia.[13] Clearly such obligations are directing some students with a strong inclination to public service into lines of employment that promise to be much more immediately gainful.

Even so, happily, that is not the whole story. Quite a number, while looking forward to initial employment in some aspect of the private, for-profit sector, expressed the view that they would not necessarily stay there for good. The first job would be a testing ground, not an enduring commitment. They hope and expect to go on to success in business, but they also like to envision themselves as later moving laterally in and out of government.

Roger Leeds' article previously cited suggests that the APSIA Schools at which he looked were facing an identity crisis, occasioned mainly by the market shift that we have been discussing and the competition offered by business schools. Not only do the latter turn out a far greater number of graduates, their graduates are all specifically tooled to meet the initial employment requirements of private sector business.

Our experience was somewhat different. The concern was a prominent one at a number of the larger schools, most notably at Columbia. At some other places, such as SAIS, the need to service banks and businesses was felt to be pushing the curriculum toward overly narrow specialization and to be steering students' selection of their courses that way. A number of the Schools have introduced either Business or International Business or variants thereof as optional functional concentrations within their

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[12] Interviews with APSIA career services officers and see also below, p. 29 ff.

[13] The statement excludes the Woodrow Wilson School where the extent of the funds available for student aid largely relieves students of the need to borrow.

Master's program. Georgetown, for example, requires all students to take two terms of work in International Trade and Finance, and in fulfillment of a concentration requirement, some 32% of its students now elect to study in Georgetown's Landegger Program in International Business Diplomacy, established in 1978.

Some Schools have established joint degree programs with one or more professional schools. (See Table #1, which follows.) Originally such programs seem to have been established mainly to capture some of the very most able and adventurous students, while coupled to that interest was a recognition that a professional degree, especially in law, could serve as a long-term "career base" for individuals willing to take risks in the course of their careers by running for office, accepting a political appointment, etc. Such appears to remain the rationale at SAIS, Princeton and Yale. As observed earlier, a more directly utilitarian purpose appears to have guided the requirement of a professional degree as a component of the Jackson School's new International Studies program. Columbia's SIPA features six distinct joint degree programs: in business, journalism, law, planning, public administration, and public health; and the School's leadership seems to be intent on pushing these bridge programs to enhance the competitiveness of the SIPA graduates.

Table #1

KNOWN APSIA JOINT-DEGREE ENROLLMENTS AND DEGREES CONFERRED*

	Law	Business	Other Professions
American	50(5)		
Columbia	8	8	10
Denver	12(2-3)	40	
Georgetown	50(15)		
George Washington	12(2)		
Hopkins/SAIS	4(1-7)	26(5)	5(1-2)
Pittsburgh	15(5)		
Princeton	17(11)	2(0)	8(5)
USC	some		some
Tufts/Fletcher	6-8(2-3)		
Washington	9(1)	6(1)	5(0)
Yale	1	1	1

Nowhere do such joint programs yet enroll large numbers of students, probably because of the additional time and expense entailed, but the numbers of students actually bridging an international affairs degree and another professional degree are certainly greater than those recorded in our survey. The frequency cannot be measured, but deans and students often referred to people who were pursuing two degrees consecutively, at their own pace, not as registrants in a joint degree program. Some had come into the APSIA Schools with a professional degree in hand; others intended to pursue one subsequent to the international Master's degree.

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* Lead number in column indicates average recent enrollments. Number in parentheses indicates average number of joint degrees conferred in recent years.

The general conclusions, that emerge, then, are (a) that the "crisis of identity" occasioned by an altered market place is not critical and that (b) the APSIA Schools have been adapting quite effectively, and in various ways, to the shifts that have been occurring in external markets. Such data as we were able to assemble on the employment of their Master's graduates in recent years appear to confirm this conclusion. Of eight Schools providing useable information, only one reported as many as 10% of its June 1986 graduates unplaced in December 1986. Career placement officers report almost all graduates end up being well placed by the second year after graduation.

The following table gives the career breakdowns of sample Schools, by percentage, for the class of 1986.

	Public*	Private**	Non-Profit	Academia
American	37	30	23	10
Columbia	28	53	13	16
Georgetown	41	39	5	6
Hopkins/SAIS	25	47	13	15
Princeton	52	25	9	14
Tufts/Fletcher	34	35	9	17
Yale	30	25	20	25

Obviously, one must be cautions in drawing large conclusions from just one class, but with that caution in mind, look at the Public-Private distinction. It appears that both Georgetown and the Fletcher School have fairly even breakdowns, 41-39 and 34-35. Columbia and Hopkins/SAIS have slightly higher percentages of students entering the private sector than the public one; however, both schools also have high numbers of students entering the non-profit sector. Finally, noticeably more American, Princeton, and Yale students entered the public rather than the private sector.

Longitudinal comparisons are available from only five schools. They again show that different Schools show different trends.

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* Includes governmental and international organizations

** Includes business/banking and professions

	Public	Private	Non-Profit	Academia
Georgetown				
1981	25	55	n/a	n/a
1986	41	39	5	6
Hopkins/SAIS				
1975	33	20	10	29
1985	25	42	9	19
Princeton				
1981	41	33	9	17
1986	52	25	9	14
Tufts/Fletcher				
1981	37	29	22	11
1986	34	35	9	17
Washington				
1981	9	50	1	40
1986	14	54	1	31

Since these percentages come from simply comparing two years chosen randomly, they can easily overstate or understate larger trends. Looking solely at the direction of the available numbers, one sees that Georgetown has experienced a marked increase in the number of students entering the public sector. At SAIS there appears a shift away from the public sector and academia and toward the private sector. At Princeton that trend is exactly reversed. Fletcher's numbers show a shift to the private sector and a big drop in non-profit career entries; the 1981 figure for the latter is, however, apparently aberrantly high. Finally, Washington shows a decline in academia and an increase in the public sector.

In summary, when the Schools covered by the two foregoing tables are considered together, there appears to be no massive surge toward the private sector, though it is certainly a significant market for the graduates of all of the eight Schools. Rather, each School has its own placement pattern, which is probably most influenced by the type of courses it teaches and the type of students who choose the School from the beginning.

Part of the adjustment process in the APSIA Schools and a significant factor in their success in placing their graduates well are the career services offices that are now built into at least eight of the APSIA Schools.[14] Where in other cases the Schools have to rely on a centralized university service, they appeared to be closely and effectively tied into it.[15] The in-house career services offices are generally well-staffed with people who are knowledgeable, able, and dedicated. They tend to begin offering career counselling guidance as soon as a new class arrives on the campus. They have developed contacts both in the most relevant government agencies and with the recruiting offices of businesses. Well before graduation they have helped students to sort out their employment interests, learn how to present strong resumes, and meet effectively with representatives of suitable employers.

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[14] APSIA career counselling and placement officers (FTE): American (0), UCSD (2), Columbia (3), Denver (0), Georgetown (2), George Washington (0), SAIS (1), Pittsburgh (?), Princeton (3), Tufts/Fletcher (2), USC (0), Washington (1), Yale (1).

[15] E.g., American University, and George Washington.

Also important in the successful placement of graduates at a number of the Schools are well-developed Alumni Associations and/or less formal linkages with concerned and helpful individual alumni. The career services officers generally are in close touch with them, and, indeed, part of their responsibility is to cultivate and extend the help that can thus be gained. Students at the Fletcher School especially cited its "network" of alumni. It had helped their predecessors get well placed and would, they were confident, not fail them. The networks serving Columbia, Princeton, SAIS, and Georgetown are probably no less effective.

There is, however, a darker side to this picture. It accounts for the serious concern expressed in some of the Deans' and Directors' offices, as previously noted. The problem is that many companies, even those with extensive international involvements, do not usually look to the APSIA Schools to provide them employees with internationally oriented capabilities. They look rather at how well the candidates are equipped to enter a business or a business training program. The reputation of the particular School for providing quality education and its track record of turning out successful graduates will probably also weigh in heavily. However, the fact that the graduates also know much about international affairs or particular foreign areas very frequently does not. Consequently, in approaching companies with overseas involvements, the competitive advantage that APSIA "products" might be thought to have as trained internationalists -- and properly should have -- most often is not there. Relative reputations of the Schools aside, the APSIA graduates are instead, in fact, often competing with the MBA's on less than equal terms.

Heads of career services offices on several campuses told of having encountered such hiring myopia in the representatives of firms. At the last APSIA meeting, concern on this score led Columbia's Dean, Alfred Stepan, to propose to the assembled Deans and Directors that they should combine to mount a "trade fair" and take other measures designed to convince more of the executives of leading international companies that the APSIA graduates really do have something distinctive and important to provide internationally active business firms and banks.

These concerns are more than confirmed in a study conducted by Professor Stephen J. Kobrin of the Graduate School of Business of New York University and published under the title International Expertise in American Business, (New York: Institute of International Education, 1984). Dr. Kobrin deals only with very large American-based international corporations and banks, but his survey of prevalent views and practices among them, by means of structured interviews and a questionnaire, elicited data from 223 managers in 126 companies.

Among Professor Kobrin's findings are the following:

- Only 10% of those surveyed felt international expertise was a major factor in hiring people for international business jobs and in promotion decisions. While another 45% felt that international experience was important, they judged it not critical for success. Thirty-nine percent characterized international experience as "nice to have," but felt one could obtain what was needed when it was needed. A small minority (6%) went so far as to regard international expertise as of no importance and sometimes even a negative influence.[16]

- Banks were the only firms encountered that routinely hired new graduates for overseas jobs and uniformly regarded international experience as critical or important.[17]

- Adaptability was often cited as important in international business, but usually it was regarded as a character trait, not something that "may result from developing international expertise."[18]

- Most managers acquire international expertise through business experience. "Education, whether graduate or undergraduate, is not perceived to be a significant factor."[19]

Despite these practices, many American firms have become heavily and successfully engaged in international business in the last three decades. Many now see themselves less as U.S. companies doing some business abroad than as multinational companies servicing worldwide markets. Professor Kobrin's findings point up two further, somewhat paradoxical results. On the one hand, there has been increased reliance on foreign managers, which has meant a reduction in the number of Americans in overseas positions. At the same time, over two-thirds of the companies reported an increase in the number of American employees involved in international business travel and cross-border transactions. "Many jobs that were considered domestic, now entail international responsibilities and interaction."[20]

Thus the opportunities for Americans to develop international expertise by service overseas are decreasing at the same time that the need for international expertise is rising.[21] The solution, as Professor Kobrin argues, is for the corporations to look more to the international preparation of their managers through education, and for students who aspire to careers with internationally active firms to acquire the technical and/or functional skills that are the first requirement of business employment. Together with this writer, however, Dr. Kobrin believes students will not be well prepared if they have not also added to their armory some foreign language competency; a systematic understanding of the differences in politico-economic systems, patterns of behavior, world views, and cultures that exist beyond our borders; and "an ability to analyze and synthesize on his or her own," in facing international differences.[22]

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[16] Kobrin, p. 18.

[17] Kobrin, p. 19.

[18] Kobrin, p. 25.

[19] Kobrin, pp. 37-38.

[20] Kobrin, p. 44.

Increasingly the APSIA Schools have been providing such opportunities where students can combine acquisition of the skills wanted at the entry level of business and banking with an education in international affairs which is at once broad and searching. Increasingly the students have seen the advantage of acquiring the skills as well as the broader education. A question remains whether both can be encompassed adequately in a two-year span, particularly when importance is attached to foreign language competence, unless the student brings with him or her strong previous preparation in either the technical or the substantive aspects of a complete program of study.

Noteworthy is the Master of International Business Studies program at the University of South Carolina which requires two and, for Japan, three calendar years. It has been functioning successfully since 1974. The school-year begins in June. Students are engaged in the program continuously, without summer breaks, for 24 and 36 months depending on the country on which they are seeking to gain expertise. The first summer is devoted to intensive study of the country's language. The second is directed to intensive study of the country and its culture plus further language study. There follows a seven-month internship spent in a company in the country. Students working on Japan experience, in addition, two semesters in a Japanese university, working further on the language and cultural understanding, prior to their internships. Despite the added time and cost, the program appears to have had no difficulty attracting able students. Potential employers have been equally forthcoming in underwriting internships and employing the program's graduates. Those who have become Japan specialists are especially in demand.

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[21] Kobrin, pp. 49-50: "The change is qualitative as well as quantitative: domestic positions have become internationalized, and in many firms, virtually every manager can expect some significant cross-border interaction during his or her career. In fact, the firm itself has become a microcosm blending nationalities, cultures, and languages. Effective management within the organization requires sensitivity to these differences; it requires international expertise."

[22] Kobrin, p. 55.

The foregoing discussion has been based on the assumption that any School concerned with turning out practitioners in international affairs must give attention to their finding employment. Most but not all the APSIA Schools properly put considerable thought and energy into this. As suggested earlier, however, it also must be recognized that the needs and opportunities presented for personal engagement by the complex, shifting world of peoples, nations, and enterprises in which we live are of a deeper texture and extend well beyond what employers perceive to be their immediate needs. Moreover, as the records of past graduates show again and again, the graduate's first job is very often not his final resting place. Over a lifetime he or she well may be called on to function in both the private and public sectors, and to serve in both domestic and international contexts.

Immediate market pressures bear on the APSIA Schools, but even as they consider them, the Schools should keep in mind these other needs for people who possess breadth of international understanding, a measure of empathy for others who are culturally different, an ability to deal with complexity, and adaptability to various potential callings. If these are not highly marketable characteristics early in a career, they are likely to prove of increasing worth as responsibilities mount.

III. FOREIGN LANGUAGES, AREA STUDY, OVERSEAS RELATIONS

As noted earlier, the foreign language requirements of the APSIA Schools vary from none to very intense, and in most of their curricula a student has to make a choice between concentration on a foreign country or region and on a substantive or functional specialty. Also observed has been how in individual cases a student's previous study or overseas experience and a judicious use of elective study opportunities often serve to bridge over these deficiencies.

This chapter looks at four ways in which the American students in the APSIA Schools are assisted to understand other cultures and appreciate other points of view.

1. Foreign Language Requirements and Assistance:

The table which closes this sub-section summarizes the offerings, hopes, and demands of the several APSIA Schools with respect to foreign language competence.

SAIS stands out in having an internal faculty group of seventeen engaged solely in language instruction. Teaching points toward operational rather than literary goals, and claims three hours in the middle of each day when no other courses can be scheduled. The level of competence required for the SAIS Master's degree is comparably demanding. Georgetown and Yale follow in making attainment of a high level of foreign language proficiency, both oral and visual, an essential aspect of the Master's degree.

In the policy-oriented Schools which lack the in-built language faculty of SAIS or the closely parallel School of Languages and Linguistics of Georgetown, a common problem seems to be that foreign language instruction has most often to be sought in Departments of Language and Literature. Here Literature is the dominant partner, and, beyond the elementary level, there is usually little instruction designed to help students deal with economic or political affairs.

The State Department's Foreign Service Institute has advanced quite far in pioneering work to develop more functional language training. And it is said that in various universities across the country a new tribe of "pedolinguists" has begun to emerge who are experimenting with new and quicker ways of imparting functional foreign language competence and also with ways of helping to maintain it once achieved.

Recognition of the importance of such endeavors and of the need to reinforce, pool, and advance the best of them has recently led to the establishment of a National Foreign Language Center funded by some of the major foundations. Tied into The Johns Hopkins University and located within the SAIS complex, it should start to provide enhanced direction and impetus to the sorts of foreign language teaching and maintenance that will be useful for international practitioners, whether in the public or private sector.

In American University's Department of Languages and Foreign Studies, language instruction includes the study of politics, history, and culture, as well as traditional methods. To date, however, few of the APSIA Schools appear to be in position to tap these newer, more functional forms of language learning. While our examination of them on this score was not exhaustive, it suggests that, besides the three exceptions cited, only Columbia is making a determined, albeit still a very limited, effort to move in this direction. At San Diego the appointment of a full-time, tenured Language Coordinator and a plan for required language-maintenance study, however, appear also to point strongly this way.

At the other extreme from the high and central importance given to foreign language proficiency at SAIS, Georgetown, and Yale is the lack of any foreign language requirement at Pittsburgh and Princeton. As previously observed, the latter pair, as schools of public and international affairs, enroll students who may have little interest in international matters and little need for a foreign language. At both, however, students planning to concentrate on the international side are normally expected to bring some foreign language competence with them on entry and are encouraged to maintain and advance it while enrolled.

In these Schools and within some others as well, faculty members are to be found who argue that people can become highly skilled operators in international financial markets or highly competent analysts of such matters as security policy, U.S.-Soviet relations, or the foreign affairs of Indonesia without commanding any of the relevant languages other than English. After all, they say, the latter is now a global lingua franca. International transactions of all sorts are carried out in it. A large store of both scholarly and journalistic literature now exists in English to inform one on virtually any international relations topic of which one can think. Why then bother about foreign language competence? Why take the time? Or demand the effort?

A second objection to required foreign language competence is that those who enter international service in either government or in business are likely to find themselves working in parts of the world where few, if any, will speak the language so laboriously learned at an earlier time.

Both arguments are in some measure valid. Yet, there remain a number of things to be said for the importance of mastery of at least one foreign language — if not of requiring it.

Most basic is that immersion in a foreign culture through its language is, finally, the best antidote to what Clark Kerr once described as "the typically American feeling that if we make clear where we sit, all reasonable people everywhere will agree with the correctness of our policy stance instead of 'stubbornly' holding to their own."

"Only by sitting in another's place," he went on to say, "can we learn that there are real and legitimate conflicts of values and interests among the peoples of the world, as well as a common core of humanity and of concern about our mutual planetary home."[1] Henri Peyre once made much the same point more succinctly by declaring that foreign language study is "the least costly and most effective way to protect ourselves from what others perceive as the arrogance of power."[2]

There are also, of course, more immediately utilitarian advantages that accrue to those who are competent in a foreign language. Just as we are usually more at ease with those foreigners who can talk to us in English, and feel that we understand them better; so do Americans gain acceptance and negotiating aids -- provided we are otherwise competent -- when we can talk to non-Americans in their languages.[3]

Likewise, those whose job it is to analyze the political and economic affairs of another country will gain deeper insights into them and the social factors that bear on them when they are privy to what its reporters, editors, statesmen, scholars, and tycoons are saying in their own language to their own people.

There are, however, two additional reasons beyond the measure of the immediate utility of foreign languages which speak to their value in the education of would-be internationalists. The first is that nationally we need all the people we can turn out who can help the rest of us understand such puzzlements and subjects of myth-making as, for example, the Arab world or the Soviet Union. Some APSIA graduates may do this in government service, others as journalists, others in working at business and banking -- and all of them as a part of their ordinary social and civic activities. The insight and understanding that those who have penetrated other cultures can and do contribute to the rest of us in ordinary times are salutary; in times of crisis they can become critical.

Secondly, as those who come to know another culture with some degree of intimacy through its language often discover, the kinds of empathy and transference so gained have a broader reach than just to the single other culture. The doors of sensitivity and understanding to the diversity of cultures are opened thereby.[4] Alongside its utility for people who may have to work in a variety of cultural contexts, this aspect of foreign language mastery ties back into and reinforces its civilizing role as highlighted in the earlier quotations from Clark Kerr and Henri Peyre.

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[1] Quoted by Shirley Hufstedler in Education For The World View (Council on Learning publication, 1980) p. 9.

[2] "On the Humanistic Value of Foreign Language Study," Profession 80, p. 29.

[3] The survey results from 108 U.S. corporations doing business in Japan, contained in the report Japanese Expertise in U.S. Corporations, (Strategic Information Research Corp., July 1985) makes this point several times. Viz., "Among companies that supply training in Japanese language and culture to their employees, 85 percent report an increase in Japanese business over the last five years" (p. 7)..."In principle, the sample was almost unanimous (81% yes) that U.S. corporations should attempt to get more Americans with a working knowledge of the Japanese language and culture into business positions..." (p. 12). See also "Even the British find it pays to learn languages," The Economist, May 16, 1987, pp. 87-88.

TABLE #2

Comparison of Foreign Language Requirments and Incentives

American University, SIS:

No entrance requirement, but familiarity with one foreign language at entry is generally expected. No academic credit for language study.

For Master's degree there is an option between "translating proficiency" to FSI level 3 for European (FSI level 2 for non-European) languages and mastery of statistics or computer methods as a research tool.

UCSD, IR/PS:

No entrance requirement. MPIA requirement is FSI level 2+ in Spanish or 2- in Chinese and Japanese -- from which students are expected to be able to make further progress without classroom instruction. Students with weak language preparation are to use middle summer to gain competence through intensive language study.

During academic year a special two-unit language maintenance program is required of all students. A Language Coordinator on the School's staff will help students design appropriate language study programs, monitor students' progress, direct the language maintenance program, etc.

Columbia University, SIPA:

Some familiarity with at least one foreign language is normally required at entry. Normally no academic credit for study of Western European languages. Up to twelve points credit may be given for intermediate and higher level courses in Eastern European and non-European languages.

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[4] The point is also made in Kobrin, op. cit., p. 35; "The value of language capability may be greater than being able to communicate in French, German, or Japanese. Learning even one language may well be a very effective way to sensitive individuals to international differences, to make them aware of what is important in cross-cultural dealings."

SIPA is introducing some new functional, as distinct from literary, language instruction on the FSI pattern, starting with Spanish and Mexico and expecting to move into Russian and then French. Degree requirement is "B" or better in 2nd. semester of Intermediate foreign language course and covers oral as well as reading proficiency.

Denver, GSIR:

No entrance requirement. Academic credit for up to fifteen quarter hours may be received for study to meet the Master's degree requirement, which is a "reading knowledge" of at least one foreign language appropriate to an individual's program.

Georgetown, SFS:

At least 2 years of college-level language study required for admission. Academic credit given for post-proficiency, advanced language study only.

Acceptable proficiency defined as "ability to *speak* a major language with sufficient fluency to participate *effectively* in general conversation *and* to discuss particular professional interests with reasonable ease" and is tested by oral exam before a 3-person panel.

George Washington, SIA:

No entrance requirement. No academic credit for language study. Basic Master's degree requirement for International Affairs students is "reading proficiency" which equates to a second year college level. In some other degree programs, statistics can be substituted for language; in the foreign area studies degree programs, language requirements are obviously much higher.

Johns Hopkins, SAIS:

Foreign language competence preferred but not required at entry. Language instruction directed toward political, economic, and political topics is important component of SAIS and employs 17 full time faculty members.

Proficiency requirements are high, with
'teria including "the ability to understand
ersation, a command of the spoken language
ient for the exchange of ideas in
ition with a native speaker, and the
y to read primary sources and other

materials in the international field with accuracy and relative speed."

Pittsburgh, GSPIA:

No entrance requirement. No credit for language study. No degree requirement. But foreign languages may be pursued through elective courses in University's foreign language and literature departments.

Princeton, WWS:

No entrance requirement, but preferred for students intending to concentrate on international affairs or development.

No academic credit for language study, but sometimes some assistance for language maintainence is offered. No degree requirement.

For possible middle year abroad see p. 39.

USC, SIR:

No entrance requirement. No academic credit for language study.

Master's degree requires passing a "USC Skill Examination....at fourth semester competency."

Tufts, FSLD:

Looked for but not required for admission. No instruction within FSLD, but available elsewhere at Tufts and at Harvard. Academic credit only for intensive study of non-Western-European languages.

Master's degree requirement is limited working proficiency in speaking and general professional proficiency in reading.

Washington, JSIS:

No entrance requirement for IS program. Academic credit granted but not toward the minimum credits required for the degree.

Master's degree requirement is practical proficiency in reading a foreign language, equivalent to two or three years of college-level study depending on the language.

Yale, CIAS:

Three or more years of college-level study, or the equivalent, are preferred for admission.

Foreign language competence is given high importance for work in international relations, and courses in the University's various language departments may be taken for credit.

2. Foreign Area Studies:

As previously noted, Columbia's SIPA and Washington's Jackson School incorporate a number of highly developed Regional Institutes that pre-date the Schools and remain strongly influential elements within them. At George Washington's SIA, the Institute for Sino-Soviet Studies is responsible for Master's degree programs in both Russian and East European Studies and East Asian Studies. Most of the other APSIA members offer the option of a concentration in one of a variety of foreign countries or regions. Usually, however, a substantive or functional concentration can substitute, and in most Schools students appear to be selecting considerably more of the functional specializations than the regional ones.

Comparative and cross-cultural studies are emphasized at Denver and Georgetown, rather than in-depth regional concentrations. Moreover, regional studies offered within the APSIA Schools generally tend to focus on the recent and contemporary rather than on more profound historical and cultural perspectives. This accords with the purpose of equipping potential international practitioners in a brief period of time. Exceptions are to be found where semiautonomous Area Studies programs or institutes exist within the APSIA Schools, and in most of the other Schools elective study in other elements of their universities permits some deeper cultural explorations. This is true, for example, at Pittsburgh and Princeton where the Schools accept no direct responsibility to help students achieve a coherent or comprehensive view of other societies and culture and at American where foreign area studies are stressed only through MA comprehensive examinations. Princeton is, however, exploring development of an option under which students would spend the middle year of a three-year Master's program in one of two nations of the developed world -- Japan or France -- or in one of the developing countries of Latin America or Francophone Africa where English is not a second official language.

The following Table presents for more detailed comparison the several Schools' expectations and offerings in foreign area studies.

TABLE #3

Availability of Foreign Area Studies In Connection With APSIA Master's Programs

American/SIS:

Foreign area study expected pre-admission. No composite foreign area study programs but courses may be taken in the School or elsewhere in the University relative to Latin America, ME and N. Africa, Western Europe, East and South East Asia, USSR, and Africa.

Foreign area study may be elected as 1 of 2 required comprehensive fields.

UCSD, IR/PS:

At least 3 courses relating to a selected Pacific area are required together with practical command of its language.

Columbia/SIPA:

Within SIPA, study of at least 6 courses in 1 of 8 Regional Institutes (Africa, East Asia, East Central Europe, Soviet Union, Latin America and Iberia, Middle East, Southern Asia, Western Europe) forms an optional way of meeting specialization requirement.

Denver/GSIS:

School emphasizes cross-cultural rather than area studies, but students can form a concentration in 1 of 6 areas (Africa, East Asia, Latin America, Middle East, Soviet Union and Eastern Europe, Western Europe) through a combination of GSIS courses and those of other units of the University. This can meet the specialization requirement.

Georgetown/MSFS:

Comparative and regional study is one option in a requirement of 3 fields of concentration. Available regional concentrations are Africa, Asia, Contemporary Arab Studies, Germany, Latin America, Russia.

George Washington/SIA:

Study in 1 of 9 Regional programs within SIA can meet a field of concentration requirement for the IR Master's.

Separate Master's degrees are also offered in 4 SIA Regional Studies programs: East Asia, Latin America, Middle East, Russia and East Europe.

Johns Hopkins/SAIS:

A concentration, amounting to 4 to 6 courses spanning two or more disciplines, may be pursued with respect to Africa, Canada, China, Europe, Japan, Latin America and the Caribbean, the Middle East, or the Soviet Union, as an alternative to a functional concentration.

Pittsburgh/GSPIA:

No foreign area studies within GSPIA but students may by use of electives achieve certificates in Asian, Latin American, Russian and East European, or West European Studies in the University's Center for International Studies.

Princeton/WWS:

No foreign area studies concentration in WWS, but a few courses regularly center on foreign areas (e.g., China's political and economic development, international relations in the Pacific rim). Students may pursue electives in East Asian, European, Soviet, and Middle Eastern Studies elsewhere in the university. Some MPA candidates do so each year.

USC/SIR:

A concentration in Asia and the Pacific, Middle East, Soviet Union and World Communism, or Latin America and the Caribbean may be pursued as 1 of 3 required fields of specialization.

Tufts/FSLD:

A concentration of at least 3 courses in the diplomatic history and foreign policy of Asia, Communist Areas, Europe, Southwest Asia and Islam, or the Western Hemisphere may be pursued within FSLD as 1 of 3 fields required. Students may and often do pursue electives and exotic languages in Harvard's area studies programs.

Univ. of Washington/JSIS:

In the IS program, as an option in the requirement of 3 fields of study, students may enroll in at least 3 courses, which must cover at least 2 disciplines, in one of the following: China, Japan, East Asia, Middle East, South Asia, or Russia and Eastern Europe.

JSIS also offers interdisciplinary Regional Studies Master's degrees in these same regions plus Korea. They require a high level of language mastery and generally require 3 to 4 years.

Yale/CIAS:

Students may meet the requirement of a field of concentration by taking 8 to 10 courses in Africa, East Asian, Latin American, Russian and East European, Southeast Asian, or Western European Studies — instead of pursuing a functional concentration (e.g., economics or law).

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The following sections focus on three areas in which cross-cultural skills and sensitivities are often enhanced for American students in the APSIA Schools over and beyond their formal studies.

3. The Contribution of Foreign Students:

APSIA schools have a strong and increasing tradition of including a substantial number of foreign nationals as part of each entering class. Foreign students, indeed, constitute 25% or more of the Master's level enrollment at seven of the Schools and amount to 20% or more at all but two of them. (See Attachment #6).

This commitment is intended to enable talented and deserving foreign students to benefit from graduate education in the U.S. and so augment their professional growth. In the APSIA Schools they encounter a broad spectrum of views on international policy and become familiar with certain tools useful for international policy discussions. But an important added benefit is the wealth of information and distinctive perspectives that these students bring to the Schools they attend, insights that vary from management styles in Japan to growing debt in Brazil, or from agricultural reform in Western Africa to the student-led push for democratization in the People's Republic of China.

In most cases foreign students enroll as full time students in the two-year Master's program and a smaller number come as PhD candidates. Some Schools have special short-term programs as well. The Parvin Fellows program at Princeton and the Hubert H. Humphrey North-South Fellowship Program at American University and the Fletcher School are designed for groups of men and women from developing countries to spend an academic year as non-degree graduate students. Participants in these programs work in development related fields and are drawn from government service and other occupations connected with public affairs. They generally receive a year's sabbatical from their employers in order to attend the program. Once enrolled, they design individual programs of study and become an important part of many of the development courses. Interaction with other students is on many levels, from formal interaction in class, or working on group projects, to more informal interactions during coffee hours inside the school or pot-luck suppers outside. The insights shared during these interactions are an invaluable source of information and new ways of thinking about policy problems for both foreign and American students.

4. Experiences Abroad:

Many Schools encourage students to live, study, and/or work abroad as part of their Master's programs. These experiences usually take one of two forms: enrollment in comparable foreign institutions or working internships in foreign countries.

Study Abroad: Johns Hopkins SAIS is perhaps best known for its extended linkages with first rate overseas centers involved in international relations. Its program with the Bologna Center in Italy has been running since 1955 and is known for both its quality of instruction and its collegiality — bringing Americans and non-Americans together. Of the 125 students, roughly half are American; the other half come primarily from Western Europe with a few from Eastern Europe, Latin America, Africa, and Asia. Most of the American students and some of the non-Americans spend their first year of the program in Bologna and complete the second year of the program in Washington. Courses are taught in English and are classified in three general categories: International Economics, European Studies, and General International Studies. Intensive language programs in French, German, Italian, and English are also available.

In 1986, SAIS opened up the Hopkins-Nanjing Center for Chinese and American Studies in the People's Republic of China. Under the administration of SAIS, the center will teach Chinese and American history, economics, political science, international relations, and other subjects to Chinese and American graduate students who will live together on the new Center's campus.

A number of Schools have less structured programs. Georgetown "encourages its students to study abroad." Its Master's programs will accept up to twelve elective transfer credits (four courses) from another institution, and the School has sister-institution relationships in Austria, Canada, People's Republic of China, France, Germany, Kuwait, Republic of China, Netherlands, and Jordan. American's SIS has semester abroad programs for graduate and undergraduate students in Beijing, Brussels, Buenos Aires, Kingston, London, Rome, and Vienna.

Columbia has exchange arrangements with the Graduate Institute of International Studies in Geneva and with the Institut d'Etudes Politiques de Paris. Students can either obtain credit toward their MIA degree or under certain circumstances obtain degrees from both schools. The Fletcher School has a formalized academic exchange of students and faculty with the Graduate Institute of International Studies, which each year enables a limited number of Fletcher students to study in Geneva. The Fletcher School also has more informal programs with Keio University in Japan and the Institute of International Relations at National Chengchi University in Taiwan.

Denver has developed formal links with the University of Chile in Santiago, the University of Tübingen in West Germany, the University of Paris, Liaoning University in China, and the University of Port Harcourt in Nigeria. Most of these arrangements include students exchanges but some also involve faculty exchanges, joint symposia, and research projects.

Pittsburgh has established reciprocal programs of student exchange with the School of Public Administration of the Getulio Vargas Foundation in Rio de Janeiro, Brazil and the Institute of Social Studies in the Hague, the Netherlands. USC/SIR students are encouraged to take part of their coursework in the School's M.A. Program in London and Cambridge. San Diego's IR/PS plans to make use of the University of California's extensive network of overseas centers and relations which serves the nine campuses and fairly well spans the globe.

Exchange programs at the Jackson School focus mainly on language and cultural study. Programs in Chinese are available through the Stanford Center in Taipei or through Beijing University. Language study is also available at the Inter-University Center for Japanese Language Studies in Tokyo, the Leningrad Russian Language Program in the Soviet Union, the Center for Arabic Study Abroad in Cairo, and the American Institute of Indian Studies in New Delhi.

Internships: Internships have become an important learning experience for many Master's students and an intensely effective use of the summer months between the two academic years. Only Princeton requires its students to undertake a summer internship (as well as providing financial support to those students who take non-paying positions.) SAIS has structured internships in Brazil and Japan, and there as at Fletcher and Georgetown, while they are not required, summer internships are encouraged, financed, and promoted to the point that nearly all students hold internships within the two years. As one Fletcher student put it "While it may not be required, it's simply expected that that is what most students do over the summer."

Typical overseas summer jobs include positions as analysts with projects of the Agency for International Development, as interns with U.S. embassies and missions abroad, with major development banks and commercial banks, and with multi-lateral organizations of the United Nations.

Internships serve students in three important ways. They gain needed practical experience in the field, which also allows them to apply the knowledge and skills they have recently acquired in the first year of their programs and helps focus their questions and research for their coming second year. Secondly, these experiences help students to "test the waters" before they begin to make important career choices in the following year. Finally, an overseas internship gives the student first hand contact with another language, people, culture, and government — and how these factors may combine to form a policy-oriented setting. Insights so gained make for more perceptive interpreters and actors in international affairs.

We have been concerned here with summer internships and especially those involving work overseas. It should also be recognized that in-term, off-campus internships are a common feature in many of the Schools and often carry some academic credit as well as providing valuable, practical learning experiences. Columbia's SIPA is one of the most active Schools in this respect. It enables virtually all its MIA students interested in such opportunities to gain one-day-a-week internships with international businesses, banks, the UN, and other internationally involved organizations. Washington, of course, is another metropolitan area where opportunities for internships with an international dimension are prevalent. There American's SIS, for example, reports that more than half of its Master's candidates hold in-term internships as part of their degree programs.

IV. THREE ASPECTS OF APSIA PEDAGOGY

Method and content in teaching international affairs are not entirely separable, and it has proved convenient to group three sets of issues here: the multidisciplinary character of the instruction offered by the APSIA Schools; the tension in them between teaching the social sciences and their application; and methods of classroom instruction. In this last category, we pay particular attention to case-studies and role-playing methods as they relate to the education of those who are intended to become effective actors in, as well as informed analysts of, international affairs.

A distinctive feature of the APSIA Schools is what their catalogues generally call an interdisciplinary approach. It is an important aspect of the Schools, since those who work in public and international affairs have constantly to grapple with concrete situations that are intrinsically complex. Economic, political, social, and cultural factors intertwine. Policy decisions, if they are to be well directed, may need to take into consideration several or all of these elements, and persons dealing with policy issues need to be sensitive to the possible relevance of these various factors in any given set of issues.

In their endeavors to develop internationalists who are at once knowledgeable and effective, the APSIA Schools therefore all seek to expose their students to the methods of the several social sciences (including history and statistics) which can assist in the understanding and analysis of international affairs and international policy issues.

When, however, one looks at how they do it — at the sorts of instruction they provide — to term their efforts multidisciplinary rather than interdisciplinary would be more accurate. The normal pattern is to require students to take courses in at least two, usually more, social sciences so as to gain some grasp of their methods of analysis. These requirements are usually embedded in the School's "core" curriculum. In a number of institutions there is, as well, a required spanning of at least two disciplines in the chosen field or fields of concentration (See Attachment #3). In this way most APSIA students perforce get a working grasp of a number of relevant social science disciplines.

The task of integrating this knowledge, of effecting interrelationships among the different approaches, is, however, largely left up to the student. There are, to be sure, individual professors whose courses venture into matters beyond their particular disciplinary specialities. Some explore boldly where disciplines intersect. There are also occasional instances of team teaching which seek to bridge and interrelate across disciplinary boundaries; but team teaching is both an expensive form of instruction and not the way in which many faculty members prefer to work. There is also the field of Political Economy. Several Schools (e.g., Columbia and USC) offer field-concentrations in it. Where it approaches being a disciplinary specialty, it is usually practiced by political scientists, rather than by economists; where it is a field of concentration, it generally involves selected politics and economics courses pursued in parallel rather than an exploration of their interrelationships.

More notable exceptions, where instruction is structured to assist students to combine differing disciplinary approaches, are to be found in the two relatively new western schools. The new International Studies program at Washington includes in its core requirements three seminars, two of which emphasize the interrelationship of politics and economics, while the third brings together concern for cultural and economic matters in studying change and stability among nations. In the course of study projected at San Diego, a three quarters sequence titled "Comparative Policy Environments" is a first-year requirement for all students. It is intended to be heavily inter-disciplinary in examining "how differences in culture, political institutions, and economic systems influence policy outcomes" in various areas ranging from finance and taxation to social welfare and labor relations. A comparable exception in the East is a year long, team taught, required course at Georgetown, "Foreign Policy Decision Making and Implementation," designed to help students pull together and apply knowledge previously gained in a multidisciplinary manner.

Students who are required to take part in policy workshops, as at Georgetown, Pittsburgh, and San Diego -- and those who may take them as electives, as at American, Columbia, or Princeton -- are often made to grapple with issues that are embedded, and have to be assessed, within concrete, complex, "real-world" contexts. Depending on the demands imposed by the instructor, students are individually and collectively challenged to bring to bear what they have previously learned of statistics, economics, politics, sociology, and history. So, here, too, an integration of the disciplines may be assisted, not simply expected.

At Princeton, interdisciplinary integration has been made part of the examination process in a manner that seems limited to that School alone. A two-day, role-playing policy exercise, termed the IPE (integrated policy exercise), mid-way in the first year of study forces students to apply the statistics, micro-economics, and methods of political and organizational analysis which have made up the required "core" studies of the first semester. A qualifying examination at the end of the first year (QE1) also involves a simulation exercise and the application of a battery of disciplinary methodologies. The examination is graded by an interdisciplinary team consisting of an economist, a political scientist, and a statistician.

There is purpose as well as convenience in the lead role given to the academic disciplines in the instructional programs of the APSIA Schools. Academic disciplines command prestige in United States' universities and so tend to attract the intellectually ablest faculty. It is also generally within the disciplines that the most rigorous and precise analytical methods are to be found. To be sure, in their fascination with the contemplation and development of analytical theory, faculty in the disciplines often stand at far (even imperious) remove from the needs of the APSIA Schools. In several Schools that do not either appoint their own faculty or have sufficient resources to condition faculty appointments shared with arts and sciences departments, getting sufficiently applicable economics taught is reported to be a serious and recurrent problem. At Georgetown, difficulty in getting statistics well taught for the purposes of the School had become such a constant problem that for 1986-87 the School waived a long-standing requirement of a term's study of quantitative analysis.

Where, however, disciplinary specialists have found interest in substantial issues of public and international policy and in the application of theory to such issues, faculty experts in particular disciplines have much to contribute in understanding and rigor to the education of APSIA students. If disciplinary preoccupations can be overly narrow from the standpoint of the needs of APSIA students, interdisciplinarity can too readily become superficial and loose. Meantime, excessive concern for what is applicable in the immediate here-and-now can lead to short-term solutions with adverse long-term consequences.

What needs to be sought is some measure of balance -- ideally also some active interaction -- between dispensing the methodologies and theories of the social-sciences and exploring their applicability. So also, between exposing students to the specialized powers of the several disciplines and cultivating in them the broader, integrated understanding desirable for those who will help make policy or otherwise deal with the complexities of international affairs. The Schools differ in how they seek to combine these requirements. A partial measure of the varied balances achieved is to be found in the right-hand column of Chart #2 which closes this chapter.

The use of historical examples and of prepared case-studies as instructional tools, to illustrate the interplay of forces at work in situations of record or to illuminate the applicability of general concepts to specific situations, is standard and common in the APSIA Schools. Much less frequent have been simulation exercises and role-playing case studies. The dominant methods of instruction are those of the arts and sciences, rather than those of the business and law schools. Lectures accompanied by discussion sessions and seminars involving the preparation and presentation of short research papers are the normal stock and trade. Explanatory instruction, inviting some student feedback, has held and still holds precedence over participatory learning pointed toward what to do next -- i.e., toward choices and decisions.[1]

In five of the APSIA Schools -- Columbia, Georgetown, SAIS, Pittsburgh, and USC -- this situation is in process of change. A program launched by the Pew Charitable Trusts,[2] entitled the "Pew Initiative in Diplomatic Training," will over a five year period lead to the development of 150 new case studies that require students to assume roles and seek resolution of conflict situations.[3] As role playing exercises, the Pew-sponsored case studies can be said to be generally patterned on the experience developed at the Harvard Business School, and faculty of the latter have been helpful in introducing faculty of the involved APSIA Schools to their well-tested methods. But the APSIA participants are not about to line up in lock step. Already on several campuses differences are emerging in how faculty members perceive the use of case-studies in the classroom.

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[1] Sometimes called "discussion pedagogy." See C.R. Christensen and A.I. Hansen, Teaching and the Case Method (Harvard Business School, 1987).

[2] The International Peace Academy is another participant.

In January 1987, participants from the six institutions were gathered in Philadelphia by officers of the Pew Memorial Trusts for a mid-course assessment of the program. Reports on accomplishments made, problems encountered, and experience gathered were accompanied by an often lively exchange of views. Considerable agreement emerged on a number of general points.

- Despite some continuing skepticism about the method among faculty colleagues, involvement in the development of cases and testing them in classroom situations were producing strong interest in the Schools. Some present spoke of a shift in the "pedagogic culture" from description to involvement and from a concentration on theory toward experience and application.

- While the original aim was to develop classroom materials for teaching diplomacy and negotiation in a way that would feature alternative strategies in the context of "real-life" situations, the promulgation of the case-teaching method as a pedagogical device had become a more dominant aim both for the sponsors and the participants.

- As a teaching method, advantages were seen to lie in heightened student classroom involvement; greater student curiosity and inquiry extending beyond the confines of the given assignment; deeper understanding and empathy on the part of students "who have to get inside the heads" of case-figures from other cultures; accustoming students to look for alternatives and to seeking the resolution of conflicts through negotiation while exposing them to the actual contexts and processes of diplomacy and negotiation.

- While the concreteness of cases and the dramatic opportunities in role-playing can obscure attention to relevant theory and history, that need not be. Providing the ambiences of history and theory in which the case should be considered is important both in the writing up of cases and in the work of the instructor in the classroom.

A young Columbia professor described her conversion to the method after having remade and taught a course she had previously given for several years on a straight lecture and discussion basis. Besides generally heightened interest, students showed they, too, wanted to know what cases meant besides representing particular occurrences. That is, they also wanted theory. The introduction of participatory case studies clearly made more students ask for follow-up reading on matters mooted in the course than in her previous experience. The general formula that proved effective for her purposes was to lead as an authoritative figure about 60% of the time and to open about 40% of each session to role-playing and discussion. The example is cited not only because it seems to represent a learning experience which worked well from the standpoint of both teacher and students, but also because it suggests that the case-method can be effectively adapted and combined with other pedagogical instruments in various ways. It is simply one more means of instruction but one well suited to the practical objectives of the APSIA Schools.

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[3] The title is misleading, as the scope of the exercise has been expanded to cover almost any kind of serious negotiation or consideration of alternative strategies to resolve conflict, not simply formal diplomacy.

A mid-course evaluation of institutional progress with the Pew Initiative by two experienced outsiders has reported the new cases as being employed in three main ways: as background reading for lectures, as preparation for student-run simulations, and as a basis for interactive classroom discussions. The third mode, which is the most demanding of the instructor, they held to be perhaps the most productive as a learning experience; to date, however, they found it to be the least utilized.

Much remains to be done in the five participating APSIA Schools to test and develop cases further and to experiment with varying ways of applying the case-method to the teaching of international affairs. Already, however, the challenge and opportunity presented by the Pew Initiative seem to be having an appreciable impact on the learning experiences available to students in these five Schools. As a method it has introduced greater attention to the assessing of options and to the applicability of concepts that often otherwise seem to students quite abstract. It thus advances the objective of helping prepare students to be effective agents as well as knowers.

Schools which have not had the benefit of the Pew Initiative in Diplomatic Training should know that good case-writing is difficult, and that good case-method teaching can be highly demanding of the teacher. A representative of the Harvard Business School asserted that it takes two or three years to make a traditionally trained economist or political scientist into a really good case-method teacher. That is probably an exaggeration. Since their objectives are different and rather broader, it seems unlikely APSIA Schools or faculty members are going to want to commit themselves strictly to the Harvard Business School style. Yet, any significant adoption or adaptation of the case-method and its "discussion pedagogy" is going to represent change in the teaching habits with which most APSIA faculty members are comfortable.

The 150 cases, complete with teaching guides, that will result from the Pew Initiative are to be printed and become available for general use once they have been adequately tested and proved suitable. The extent to which other faculty members will be interested in more than occasional use of cases that they themselves have not had a hand in designing or developing remains arguable. But if other of the APSIA Schools become inclined to move on their own toward broad use of the case-method, they should be aware that doing so is highly demanding of faculty time and therefore of money. Nor is it always easy to engage in the preparation of cases those faculty members who have the most to contribute in the way of knowledge and experience. The dominant ethos of the faculty runs to expounding. The ablest members are usually those already most heavily committed to other activities.

The following chart on "Master's Program Pedagogy" that closes this chapter presents in compressed form a comparative record of methods of instruction in the APSIA Schools that call, in varied ways, for heavy student participation.

The right-hand column of the chart, T/H--PA/DM, requires explanation. The letters stand for theory, history, policy analysis, decision making. The pairs are envisioned as forming a spectrum of combined pedagogical and curricular concern, ranging from the traditional academic disciplines on the left to more policy oriented, action oriented study on the right. The number 1 designates the purest concern with theory; the number 5 designates maximal concentration on application. In the values assigned to individual institutions, the first number represents the assessment of the Dean or Director of the balance in his School on this scale of 1 to 5. The number in parentheses indicates where he would like that balance to be.

MASTERS PROGRAM PEDAGOGY

PSIA	Role Playing Case Studies	Simulations & Gaming	Policy Workshops	Thesis or Major Research Paper	Internships	T/H ⟷ PA/BM 1 ⟷ 5 Spectrum
Amer. Univ. SIS	a few, optional	a few, optional	a few, optional	optional	most get them	Mixed 2 (4)
UCSD, IR/PS	a few, optional		3 qtrs. required		will encourage and assist	Mixed -- (3)
Columbia SIPA	Few initiative	1 or 2 optional	some, optional	optional	very active developing & placing	Mainly T/H, but PA/BM increasing 3 (3.5)
U. Denver GSIS	a few, optional	a few, optional		thesis required	3-5 per qtr.	Heavily T/H 2 (2)
Georgetown MSFS	Few initiative	1 or 2 optional	common	1 major research paper required	almost all get them	Mixed, but emphasis on PA/BM 4 (4)
Geo. Wash. Univ. SIA	a few, optional	a few, optional		optional	encourage and assist	2.5 (3.5)
Johns Hopkins SAIS	Few initiative and optional in some courses	1 or 2 optional	common	major research paper required in some fields	encourage and assist in finding	Mixed, but shades toward PA/BM 3 (3)
Pittsburgh GSPIA	Few initiative	some	2 semtrs. required	6-hr. cr. option	6-hr. cr. option; about 1/3 have them	Strong PA/BM tilt 5 (5)
Princeton WWS	some in required core	2 required simulation exams	common 2nd year options		required in middle summer	Mixed, but heavily PA/BM in core 3.5 (4)
U. So. Cal SIR	Few initiative	1 or 2 optional		optional	no active promotion	Mainly T/H
Tufts FSLD	some	1 or 2 optional	some	thesis required	60% have them in summer	Mixed 3 (4)
U. Wash. JSIS				required	encourage & assist	Heavily T/H 2 (3)
Yale CIAS	a few, optional	1 or 2 optional			common in summer	Strongly T/H 1.6 (1.8)

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V. ADMINISTRATION, FACULTY, STUDENTS

1. Relation to the host institution:

As in other matters, variety marks the way in which the APSIA Schools relate to their host or parent universities. At Johns Hopkins and Tufts, SAIS and the Fletcher School have a high degree of autonomy, as does GSIS at Denver. They appoint their own faculty members, admit their own students, raise their own money — and, at least in the social science disciplines have rather greater public visibility and prestige than do the departments of the host universities.

At Columbia one finds a contrasting model. The School is tied much more closely into the University's central administration; all but four full time faculty appointments are, de jure, solely in other departments or schools whence they may become associated with SIPA in various ways; the School thus capitalizes heavily on the long established strength and prestige of the University's arts and sciences departments. The situation in Yale's CIAS is unique but rather similar. It has no faculty of its own, but controls eight professorial chairs situated in departments.

The other APSIA Schools tend toward one or other of these two prominent patterns.

The proportion of its full-time faculty that is in-house, not shared with outside departments, is a fairly good measure of the extent to which a School is self-directing, able to define its mission and organize its instructional program in the ways that it wishes. (See Attachment #5). In the eight institutions with largely internal faculties, that independence is perceived to be a significant benefit. One of the Deans put it this way, "We could not have a meaningful program without the ability to name faculty and grant tenure. It is tremendously important in insuring depth of curricular coverage where we need it and for program continuity."

While clearly true for the particular School, where it also reflects rather greater academic strength within the School than in what might have been its feeder departments, there are marked exceptions to the general rule. Columbia's Dean is not as entirely bound by the University's strong tradition of departmental primacy as the numbers might suggest. Through aggressive fund-raising he has secured direct control of about 12 faculty positions, and he also sits on university-wide committee of deans that has a major say in the allocation of positions. Likewise at Georgetown where 25% to 35% of the full time faculty is shared, the Dean and Associate Dean of the Walsh School of Foreign Service are tied into the central management of the social sciences portion of the Graduate School in such ways that they have a very considerable influence on all relevant faculty appointments and the allocation of faculty time. At Princeton a large endowment assigned solely to the Woodrow Wilson School permits it to influence materially faculty appointments shared with departments, as most of them are. It is thus generally able to achieve in each new appointment which it helps finance the combination of high disciplinary excellence and deep policy interests that it seeks.

Interesting is the transition in process at George Washington University. Organizationally SIA has been a place where power has been the most widely dispersed and decanal authority has been at or near the minimum. Currently, with strong encouragement and support from the University's central administration, a new dean is in the process of pulling the parts closer together, reclaiming authority from the social science departments, and establishing a substantial in-house faculty. From 12 in 1986/7, the number is expected to reach 27 by 1990. This transition is not being accomplished without opposition from within the departments, some of which fear that the School's new strength will be disadvantageous to them. But the transition to greater internal coherence and a more clearly defined sense of purpose goes on.

2. School leadership and faculty:

In 1982 Marten van Heuven, a Foreign Service Officer, produced an excellent short study of the APSIA Schools for the Foreign Service Institute. Among aspects singled out for special comment were the nature and quality of their leadership.

> "The outstanding feature," he wrote, "is the central role played in many of the schools by the deans. To be sure, none could operate without a broad measure of explicit or tacit support from the faculty. But it is remarkable to see how the deans are putting the imprint of their approach and their style on the operation of the schools. . . .At any rate, today's deans and their administrative staffs seem to be operating at the center of the typical managerial functions of planning, organizing, staffing, coordinating, reporting, budgeting, and representation."[1]

Although a number of the incumbents have changed since 1982, my observations square with van Heuven's. Almost without exception, the Deans and Directors appear to be able, energetic, forward-looking, purposeful individuals. As is necessary in higher education, they lead by example and persuasion, and recognize the importance of the long view and perseverance.

Significant changes are unlikely to be achieved overnight. If, however, they are not to await the retirement of existing faculty -- a process that generally won't begin to accelerate until the mid-1990's in America's universities -- to accomplish significant change and development, a Dean and Director must reach outward to raise the funds needed. In the currently strained conditions of most universities' budgets, they often must also seek the resources simply to sustain in their Schools such things as student fellowships, library purchases, and general operating funds. So, fund-raising is accepted as an important responsibility by most of the Deans and Directors. Some of them, it is clear, have become highly adept in that art. (See Table #6, p. 69.)

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[1] "Old Fields and New Furrows: Graduate Education for International Affairs," A Case Study by Marten A.H. van Heuven, Twenty-Fourth Executive Seminar, FSI, March 1982, p. 11.

We noted earlier some areas in which Schools that do not themselves control the requisite faculty appointments have experienced difficulty in getting for their students the sorts of instruction that will meet their operational objectives. The available microeconomics and quantitative analysis have tended to be too theoretical, and the available foreign language teaching of too literary a cast.

Today, far and away most faculty members holding full-time, tenured appointments in the APSIA Schools come out of academic backgrounds and hold PhD credentials or equivalent professional degrees. An exception was Pittsburgh, where the faculty was mainly constituted of experienced practitioners drawn out of careers in public and international affairs. Heightened intellectual expectations have brought change. New faculty appointments, it is reported, are younger people with strong academic backgrounds who then are encouraged to gain practical experience as consultants either to government agencies or corporations.

In a number of Schools, practicality is introduced into the instructional program through the use of part-time teachers drawn from government and business.[2] Often these practitioners themselves hold advanced degrees and are highly qualified academically as well as through possessing relevant kinds of working experience. In the Schools of the Washington area particularly many of the part-time faculty appointments represent long-term relationships.

"Real world" experience and attention to the application of knowledge have been and are a part of the APSIA Schools in another way, and that is through regular members of the faculty who have in the past held positions in government or who now serve as consultants for federal agencies. Specific numbers are not available, but more than a few of the senior APSIA faculty members have worked for periods of time either in or for the Federal Government, and it is common for younger faculty to be encouraged and helped to gain such experience. Students repeatedly indicated appreciation of such contacts. They liked being taught by those who brought actual working experience into some of their teaching and who could also offer it to students as they consider future careers.

One final set of generalizations on the APSIA faculty. Those who serve in self-sufficient Schools tend to have somewhat better perquisites than colleagues in parallel departments outside the same Schools, where some envy is detectable. Whether the lot of the in-house faculty is actually better, or they are happier, than faculty members holding joint appointments is uncertain. What is clear is that the latter often experience split loyalties and some resultant sense of personal strain. Not only may the School and the department make competing demands on the individual's teaching time; they may also have rather different ideas about what constitutes the sort of significant research that wins a young faculty member a promotion. Nevertheless, for the faculty member interested in policy analysis, the School is a congenial environment. In addition, for some, simultaneous membership in a department offers equally desired intellectual challenges, while in the eyes of others it confers an added measure of prestige or status.

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[2] Here again disparate terminology in the APSIA Schools can be misleading. Most places term their part-time practitioner teachers "Adjuncts." SAIS calls them "Professorial Lecturers," because its "Adjuncts" are full-time senior faculty for whom there happen to be no tenure positions. Princeton terms its part-timers "Lecturers" and "Senior Fellows." There is no consistency.

Institutional data on APSIA faculties are grouped in Attachment #5.

3. Students

Reported graduate enrollments in the active APSIA Schools in 1986-87 totaled 3294, which represented an increase of about 540 over five years before.[3] Of the total, 2698 were master's degree candidates, 427 were PhD candidates, and 169 were short-term students in mid-career. Degrees awarded in 1986 were 1007 at the Master's level, 38 PhD's, and 71 one-year MA's for mid-careerists — or a total of 1116.

All but 750 of the 2698 Master's degree candidates, or 72%, are full-time students, while the relatively few part-time participants are heavily concentrated in two of the Schools of the Washington area, American and George Washington. About 12.5% of the SAIS enrollment is also part-time, and outside the District of Columbia smaller representations exist at Columbia, Pittsburgh, and Washington.

Unfortunately, several Schools have only very recently begun to assemble statistical data on their students and graduates. Thus longitudinal comparisons to trace changes over time are restricted. But as indicated, graduate enrollments in the 12 active APSIA Schools, appear to have increased by about 16.5% in the past five years. The growth has been most marked at American, Columbia, Denver, George Washington, SAIS, and Washington. In at least four of these six institutions it reflects a high degree of tuition dependency, but it is also clearly a response to pressures for admission from increasing numbers of able, well qualified applicants.

Nationally in recent years, a substantial proportion of college seniors have been taking a year or more after college to explore options, or simply to enjoy a change of pace, before settling on the career paths they wish to pursue.[4] This has also been the case with APSIA applicants, and on their part, the Schools have for some time looked for external experience and the maturity it brings in selecting their students. Of the eight Schools reporting available data, none reported more than 55% of their recent admissions as having come directly out of college, while in one case that percentage was under 30%. The average

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[3] See Attachment #6.

[4] Education Section, New York Times, 10 November 1985.

age of students entering the ten Master's programs reporting on this item was 25 to 27 years in eight Schools, and 24 years in two others.

Available measurements of student quality are limited and largely impressionistic. Only nine Schools could provide average General Records Examination scores of entrants, and only six could do so over a five-year span. The spread among institutions ranged from average GRE scores in the verbal 580's and quantitative 550's at the low end of the spectrum to those in the verbal 680's and quantitative 700's at the high end. The scores reported, however, show no significant shifts over the last five years, and altogether they correspond to the degree of selectivity the Schools can exercise in admission -- which is a function in part of their financial situation and also of the prestige that has come to be attached to their degrees. The last is the product of various ingredients, but not the least is the record of accomplishment of notable graduates.

None of the Schools feel a compulsion to admit more than one out of three applicants to their graduate program; in most cases the ratio is higher. Excluding Yale, which is atypical in many ways, the mean for the other 11 active Schools is 5.5 applicants for each admitted student. No School suggested that its students fell below the standards of those in the comparable departments of their universities. A number judged that their students shone brighter.

Generally, students everywhere drew high marks for intelligence and purposefulness even where aspects of their preparation -- for example, in foreign language competence and an ability to write clearly and concisely -- were faulted. One must assume that those with whom we met were mostly pre-selected to impress. For certain, they bore out the foregoing complimentary faculty assessments. Yet, we would like to think that they were representative, for they gave us many lively and candid insights into the programs they were pursuing, the faculty under whom they were studying, and the varied career options they saw lying before them. To use the vernacular, their heads appeared to be well screwed on, and their attitudes were at the same time up-beat.

The APSIA Schools do not get such young people entirely by chance. Nine of the Schools have at least one staff member working on student recruitment, and six have two or more persons so employed.

As shown in Attachment #6, women amounted to 50% of the 1986-87 enrollment at only one School, but no where did they constitute less than 30%. Foreign students filled roughly half the places at two institutions, but constituted as little as 13% of the enrollment at two others.

With respect to members of minority groups, whether as students or as faculty members, the Schools have done much more poorly. This is apparent in the following Table, #4. The paucity of minorities is, of course, not a phenomenon peculiar to the APSIA Schools. It characterizes most of American higher education's selective institutions, and has proved extremely difficult for them to overcome. Yet, clearly this is a problem of which the APSIA Schools must, as the Quakers say, continue to be seized.

TABLE #4*

Minority Representation in the APSIA Schools

Institution	Graduate Students				Mid-Career Students				Faculty			
	Blacks	Hispanics	Amer. Indian	Asian Amer.	Blacks	Hispanics	Amer. Indian	Asian Amer.	Blacks	Hispanics	Amer. Indian	Asian Amer.
American	15	10	--	30	2	7	--	1	3	--	--	--
Columbia	19	23	2	47	na	na	na	na	2	4	--	7
Denver	4	3	0	3	na	na	na	na	--	--	--	--
Georgetown	1	8	--	2	na	na	na	na	1	--	--	1
GW Univ	8	20	--	17	na	na	na	na	--	--	--	5
Hopkins/SAIS	7	10	1	6	5	2	--	1	--	3	--	2
Pittsburgh	21	?	--	?	na	na	na	na	4	1	--	--
Princeton	10	4	--	9	2	--	--	5	2	--	--	1
USC	5	4	--	5	na	na	na	na	--	--	--	--
Tufts/FSLD	10	3	1	2	na	na	na	na	--	--	--	2
Washington	--	--	--	--	na	na	na	na	--	--	--	3
Yale	1	--	--	2	na	na	na	na	--	--	--	4

na = Not applicable

Additional fellowship money might make it possible for more minority students to consider graduate study leading to international service. Since, however, few qualified minority members have been presenting themselves as applicants from among the graduating classes and recent graduates of our colleges, the place to attack the problem is very likely at an earlier stage or stages of education. A model may be the Summer Program in Policy Skills for Minority Students, currently funded by the Sloan Foundation at some eight public policy institutions. Between the junior and senior years of undergraduate study, minority students are brought to those campuses for a program of study designed to help prepare them for graduate study and eventually careers in public policy and public management. The early exposure seems to have produced results in subsequent minority graduate enrollments; this, at least has been true at Princeton.

Others, however, would argue that even greater success might be achieved if comparable steps were taken to capture the interest of minority students in international affairs between the junior and senior years of high schools. APSIA Schools which conduct undergraduate programs in international affairs might most appropriately reach down into the high schools that way to bring minority students into their orbit and expose them at an early age to the interest and challenges inherent in the study of international affairs. A model here is the Upward Bound program now functioning in a number of the traditionally black colleges.

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* The figures represent numbers of individuals.

We looked earlier at the indebtedness undertaken by many APSIA students and its influence on initial career decisions. It reflects greatly inadequate student aid funds at all of the APSIA Schools except Princeton and, to a lesser degree, Yale. At the other institutions, in most instances available fellowships cover no more than the cost of tuition; and in several of the Schools there are very few of even such limited awards. Consequently, it is common for fully enrolled APSIA students to work to earn money for as many as 20 hours a week. When they are lucky enough to gain a research or teaching assistantship, that can often contribute to their learning. But those awards are in even shorter supply than fellowships in most of the Schools. On several occasions faculty members and students expressed concern about the strain imposed on learners when they have to work 20 hours a week on top of a full course-load. Their studies, it was felt, almost inevitably suffered; yet, when quizzed, the morale of several such students and their interest in their studies seemed high.

VI. LIBRARIES IN APSIA SCHOOLS

Of the nine Schools that responded to our library questionnaire, four have discrete libraries and five do not. Evidence from catalogues suggests that among the twelve functioning Schools six have their own libraries, and six do not. However, even those which have in-house libraries stress the importance of the main campus library for major research. Adequate treatment of the research collections of main campus libraries is beyond our reach. We shall therefore focus here on those Schools with discrete libraries in their own buildings.

Many of these discrete School libraries are the first step in a student's research; however, they are primarily intended to service the School's teaching program. They comprise fairly reasonable collections averaging about 90,000 volumes (Fletcher, SAIS and Pittsburgh) and anywhere from 500 (Fletcher and Pittsburgh) to 900 journals (SAIS). However, some like Columbia's Lehman Library serve as the main international affairs library for the entire university and thus contain many more volumes. (At Columbia the numbers are 295,000 volumes, 150,000 microforms, and 1,800 journals.)

The general subject boundaries of the collections relate closely to the current fields of study within each School. Most School libraries have developed written collections policies in consultation with appropriate faculty members. Generally they encompass the recent works of the more important writers, selections from the works of secondary writers, a variety of representative journals, and the reference tools needed for fundamental bibliographic searches. Emphasis is in works written or translated into English, as the in-School libraries are usually too small to keep up collections in other languages. Periodicals represent a significant budgetary commitment. Current domestic and foreign newspapers are also an important investment and change with the times. Librarians within these discrete School libraries are invariably connected closely to the main campus library and its wider resources.

Eight of the nine Schools reporting subscribe to the Foreign Broadcast Information Service for area news reports throughout the world, both paper copies and on microfiche. Six Schools are members of the On-Line Computer Library, OCLC, which gives access to materials from over 4,000 libraries in U.S., Mexico, Canada, and Europe. Three Schools, (Columbia, Princeton, Yale), are members of the Research Libraries Group, RLG, a consortium of 24 libraries covering the U.S., whose members grant one another priority interlibrary loan privileges, and whose database of library holdings serves the same purpose as OCLC.

At Princeton and at Columbus, a new information retrieval system, PAIS on CD-ROM, is currently being tested. The Public Affairs Information Service (PAIS) Bulletin, which lists journal articles, government documents, conference proceedings, has long been a logical starting point for public affairs research. In the 1970s, the database version brought library users the advantages of computer literature searching. However, database searching almost always required the services of a trained librarian and was costly, with an average charge of $10 to $50 per search. The new computer systems that use high-density storage compact disks allow users without technical knowledge or searching experience direct access to the database without charge, since libraries pay an annual subscription fee for unlimited use of the system. Several other indexing and abstracting services (e.g., Psychological Abstracts, Sociological Abstracts, National Technical Information Service) are also available on CD-ROM, but none includes as many years of indexing as PAIS. If the new system lives up to expectations, PAIS on CD-ROM should prove an important aid to both faculty and student research in the APSIA Schools.

We asked each librarian to list the largest gaps in their collections and to suggest on how these might be remedied. Not surprisingly, the largest problem for schools of international relations is getting current works from the countries that are being studied in the classrooms. The biggest reported gaps are in the following areas: primary source materials published in countries under study, documents from international organizations, European regional and dialect publications, Third World publications in general, and the problem of "gray literature" which we shall deal with below. These gaps usually exist not only in the discrete libraries but in the central university collections as well.

Since the acquisition of much of the material desired is difficult for all Schools, these deficiencies can be solved only partially by means of interlibrary loan. Schools close to Washington have an advantage in the multiple facilities there, especially within international organizations and the Library of Congress. Elsewhere, it has been suggested, critical gaps might be remedied by having each School select a specific area or areas for concentration and then building for those areas collections from which the others could borrow. The Schools would need to agree to form some type of consortium that would allow students and faculty easy access to the various collections. Ideally, Schools could then specialize in certain areas in which their faculties are strong, and rely on other APSIA members to fill in the gaps.

Since, however, the stocking of university libraries tends to follow faculty research and teaching interests -- and is expected by faculty members to follow where the latter lead -- it is hard enough to control in systematic fashion on individual campuses. The problems of developing and then implementing any inter-university acquisitions policy must therefore be recognized to be formidable. If the APSIA Schools become inclined to move in this direction, they should do so with open eyes.

Where the formation of such a consorted endeavor might be particularly useful, if it could be managed, is with the type of fugitive published materials commonly referred to as "gray literature." The term designates ephemeral materials issued by such groups as political parties, interest groups, splinter religious bodies, and research organizations. Experience has shown that the most effective way of securing items of "gray literature" outside the United States is to send curators and bibliographers to collect them -- a step normally beyond the means of most APSIA Schools. The next most successful way has been to establish blanket orders with reliable local dealers. A final answer is to make arrangements with specialist dealers and collectors. The whole process requires close and knowledgeable attention and the ability to commit resources for which there are usually competing demands. This, then, presents itself as an area where an explorations of greater cooperation among the Schools and their parent universities commends itself and where foundation grants might be used to develop a better system of collection that would serve the battery of APSIA Schools.

As was pointed out to us in one questionnaire, other interesting options are the reception from other countries of direct news reports via satellites and of news-subscription services on video tapes. Both of these services are currently available for national television in the USSR, both in the Russian language and with English voice-overs. They are services obviously relevant for Schools which concentrate in Soviet studies and are being so exploited at Columbia. Encouraging this type of television archiving for to other parts of the world might be a useful APSIA undertaking.

VII. PhD PROGRAMS AND ORGANIZED RESEARCH

1. PhD Programs

Seven of the APSIA Schools offer the PhD degree: American, Denver, Fletcher, SAIS, Pittsburgh, Princeton, USC; and at UCSD a PhD program in International Relations has been authorized. At Denver an enrollment of 128 candidates in the PhD program is nearly double that at the Master's level. At USC, PhD candidates somewhat outnumber Master's candidates. In the other five Schools, in terms of student enrollments and also, apparently, allocation of faculty time, the PhD program is distinctly the junior partner. (See Attachment #6 for numbers.)

In the Schools not offering the PhD, each year a number of Master's graduates appear to settle on academic objectives and transfer into relevant disciplines to pursue the PhD. This is partially reflected in tables on pages 44 and 45, but as those numbers under "Academic" include students moving into professional schools, accurate assessment cannot be made of those in pursuit of the PhD degree.

The Schools offering the PhD report normal time to the completion of the degree as between four and six years from the beginning of graduate study. In most of the Schools, some students are admitted as PhD candidates at the start, but more appear to transfer onto the PhD track following completion of the Master's program.

Generally, the requirements for the PhD degree — besides independent research and writing a dissertation — involve more advanced study of the methodologies and subject-area fields featured at the Master's level. Often, special attention is given as well to research design, and greater foreign language competence is usually demanded. For example, at Princeton course requirements beyond those for the MPA degree include two terms of advanced organizational management analysis, four terms (including a seminar) in research design, and five additional courses in the student's chosen field of concentration. Meanwhile, at SAIS, students going on to the PhD face a year's work in quantitative analysis and gaining further foreign language competence, in addition to participation each semester in a workshop in International Relations, Comparative Politics, or Economics. At American, PhD students are subject to substantially more rigorous selection criteria (only 13 of 130 applicants were admitted in 1987). Their curriculum includes four semesters of intensive seminar work, each focussing on a different substantive area of international relations.

On other campuses, as at Denver and the Fletcher School, emphasis is put on broadening the student's command of international affairs by requiring PhD candidates to assume responsibility for an additional field of concentration. In all instances, before oral defense of his/her thesis, the PhD candidate faces a stiff battery of "general" or "comprehensive" examinations spanning the fields or subjects in which he or she is required to show competence in the particular School.

In answer to the question of what is distinctive about PhD dissertations in their School, as compared to those written on international topics in traditional disciplinary departments, the answers unanimously were that theirs tended to be more interdisciplinary and also more often focused on policy issues. A less frequent characteristic was involvement of practical, hands-on experience as part of the research. However, none of these characteristics reflected a requirement -- which is to say, they are typical but not essential marks of APSIA PhD dissertations. If a candidate wishes to do a largely theoretical dissertation and can find the right faculty adviser, he or she can do so in any of the six Schools offering the PhD. The fact illustrates again the duality of focus, the T/H--PA/DM tension of Chart #2, that characterizes the APSIA Schools.

Another query put to the Deans and Directors was whether they saw their PhD programs as shaped to produce especially one or more of the following sorts of "products": college and university faculty, non-academic researchers and analysts, future leaders and shapers of policy. Only two Schools disavowed the development of policymakers, but all but one of the others rated it third, and none rated it as a prime objective of its PhD program.

The infusion into government and business of people capable of serious research and rigorous analysis on international issues was seen as the prime purpose of the PhD in all but one of the Schools. The exception was Denver, which has far the largest PhD enrollment. There the development of international relations faculty is the first of the three aims; in the remaining six Schools, that ranks as a fairly strong second purpose.

With the growth of interest in the study of international and world affairs at the undergraduate level that now appears to be widespread across the country, the employment opportunities in higher education for holders of PhD degrees in international studies and international affairs are said to quite favorable. Unfortunately, however, only two of the Schools could give us figures on the proportion of recent PhDs who have obtained academic positions. At American University the figure was 14% in 1986 (contrasted with 71% of its PhDs in public service, and 10% in business and the professions); American expects that proportion to increase when all the 1987 count is in. At the Fletcher School, 20% of the PhDs (16 of 79) granted from 1980 to 1985 have taken teaching positions in colleges and universities.

2. Research in the APSIA Institutions

As today in all American universities worthy of the name, holders of regular faculty positions in the APSIA Schools are generally expected to be engaged in advancing knowledge and understanding, as well as in imparting received information and thought to students. Exceptions do occasionally need to be made. Highly able purveyors of needed functional skills may lack a scholarly bent, while scholars of distinction may prove to be wretched purveyors of basic, applied skills. So, one finds at SAIS 17 full time foreign language instructors whose sole task is that. Elsewhere special provisions are sometimes made to insure a sufficiently applied edge to instruction in statistics and accounting. Likewise, the benefit of having a full-time experienced former practitioner or two in a School's faculty may entail the appointment of persons whose written contributions and modes of analysis, while reflecting seasoned experience, do not meet the analytical styles or standards of academic research.

On the whole, nonetheless, the regular as distinct from the part-time faculty members of the APSIA Schools are where they are because the advancement of knowledge and of learning is important to them. For their students, the active involvement of teachers in research means that a spirit of inquiry is likely to infuse the instruction, to encourage critical and reflective thought in place of the passive reception and regurgitation of professorial obiter dicta. In other words, when the exercise and cultivation of critical and creative intelligence are parts of a teacher's temperament and aim, learning becomes a lively and enlivening process that can never be matched by authoritarian pronouncements and rote learning. This is not to say that all significant scholars are splendid teachers. It is to say that activity of the searching, scholarly mind can have a profoundly beneficial influence in the classroom.

As in their host universities, much of the scholarship and research of APSIA faculty members is carried out by individuals working on their own. Some may get, at best, small infusions of institutional research support and benefit from periodic leaves. At the same time, in most of the Schools, research sponsored by external donors, public and private, has come to be an important activity, and the pursuit of such support from foundations, corporations, and government agencies has become a recurrent occupation both of School administrators and research-minded faculty members. This development has been in many cases paralleled in the Schools by the establishment of research centers or institutes focused on particular regions or particular broad areas of inquiry of concern to groups of faculty members. Very few of these centers possess endowments; most of the research they undertake is heavily dependent on external sources of funding.

Table #5 following this page summarizes sponsored research activities of the APSIA Schools as reported in response to our questionnaire. Not apparent in the listings is that the research spans a great range of international issues from human rights to arms control. It ranges also from the highly applied to work of a distinctly theoretical cast. A striking, and far the largest, example of the former is the Fletcher School's Niger Integrated Livestock Project being conducted with a $7.6 million USAID investment expendable over the period 1983-88. At the other extreme, Columbia reports a one-year grant of $13,900 supporting a study of Politics, Gender, and Enterprise in Latin American and the Caribbean.

Table #5
Sponsored Research in APSIA Schools*

	Institution	# Organized research units	# Sponsored research projects and their total $-volume for 1986-87
1.	American	None	Two $200,000
2.	UCSD	Five regional; One functional.	n/a
3.	Columbia	Five functional; Eight regional	a) Under SIPA auspices: Twelve. $870,000 b) In depts., but involving SIPA faculty: Twenty-one. $1,126,500
4.	Denver	Four	None listed
5.	Georgetown	One	Three $350,000
6.	George Washington	Two	Eleven $337,000
7.	JH/SAIS	Three, functional; Five, regional.	Four $649,5000 (Total; duration of grants not clear)
8.	Pittsburgh**	One	Three $325,000
9.	Princeton**	Two	Eleven $1,543,500
10.	USC	Three	Six $342,000
11.	Tufts/Fletcher	One	Three $1,586,000
12.	Washington	One	Eleven $475,000
13.	Yale	Four	None listed

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* Included here are research centers or institutes functioning under the School's auspices or closely associated with them.
For multiple year grants, dollar amounts were calculated for the year by dividing reported totals by the number of years of the grants' reported duration. All numbers have been rounded to nearest $500.

**Domestic public affairs research excluded.

That some members of the APSIA faculties should be more interested in advancing learning as an end in itself and others in what can usefully be gained from it is in keeping with the dual focus we have previously seen to inhere in all of the Schools. Dean Stokes of Princeton has, however, suggested that the two aims, basic understanding and applied use, may often profitably be combined. An example of some weight at Princeton is the Office of Population Research, where population change is under investigation both as a process that challenges understanding at a most fundamental level and as a problem with immense and urgent implications for national and international policy. Similarly, Princeton's Research Program in Development Studies sees economic growth both as a process to be understood through fundamental research (for which one member of the faculty received a Nobel Prize) and as an immensely complicated problem of raising much of the world's population above the poverty line and assuring growth for all nations. Probably comparable examples can be found in other of the APSIA Schools. None, however, as embrasive of both discovery and application, of theory and practice, were brought to our attention.

VIII. FUNDING OF THE APSIA SCHOOLS

1. Truncated Overview

The financial information we requested came in such varied and incomplete forms that very few meaningful generalizations can be drawn.

All but two of the Schools report having some endowed funds assigned specifically to the Schools, but only four report endowments of over $10 million. Existing endowments range from $650,000 at American University's School of International Service to something that must now be far in excess of the $35 million book value of Princeton's Woodrow Wilson School's endowment. In the middle range are Georgetown ($11 million), SAIS ($15.75 million) and Fletcher ($19 million).

The instructional programs of most of the Schools appear to be substantially subsidized by the parent university. But SAIS instead of receiving any subsidization from Johns Hopkins pays an annual "tax" to its central administration for services. As previously noted, at both SAIS and American University, the tuition that the School draws in is of such importance to its functioning that it has to admit more students and run larger classes than some faculty and students would wish.

Seven of the Schools have developed alumni associations that are active in fund raising as well as in job placement. In the eight Schools reporting alumni giving for the three years 1983/4 to 1985/6, receipts ranged for the splendid high of $3,472,638 at SAIS, through $438,330 at the Fletcher School, past $60,000 at Columbia, to a low of $1000 at American University. Columbia's SIPA, however, also has a "Friends" organization, and it was considerably more productive than the alumni association, having brought in some $332,500 over the same period. SAIS is the only other School to have reported gifts from non-alumni individuals, and here again it is a leader, with $813,936 listed from this source.

We have previously glanced several times at the effort expended by most of the Schools to raise both research and operating funds from corporations, foundations, and relevant agencies of government. The record of achievement of those providing the information for the same three years, 1983/4 to 1985/6, is summarized in Table #6.

Table #6
External Support for APSIA Schools, 1983/4-1985/6

	Alumni*	Corporations	Foundations	Federal Agencies
American	1,000	10,000	90,000	30,000
Columbia	48,000	55,000	323,970	3,009,003
Denver	8,760	--	814,173	132,000
Georgetown	246,030	1,976,983	2,634,897	452,688
GWU	60,000	245,324	172,600	763,261
SAIS	3,472,638	2,418,583	5,256,933	1,791,568
Pittsburgh	?	?	52,686	?
Princeton	--	30,000	3,226,886	4,175,000
USC	17,031	--	317,700	528,228
Fletcher	438,330	2,340,912	4,064,601	1,985,452
Washington	--	272,019	1,375,832	2,823,465
Yale	9,000	--	353,600	1,923,407

* The data received do not distinguish between annual giving and contributions to capital campaigns.

SAIS again leads the pack followed by the Fletcher School and the Woodrow Wilson School.

Unfortunately, the information received does not, as we had hoped, permit classification of these funds by purpose. We had hoped to learn for each donor-category how much was made available as unrestricted money and how much for student aid, instruction, research, etc. Apparently few of the Schools keep their books that way, and so most could not readily provide the information. A rough impression arising from the available numbers is that considerably more of the corporation and foundation money coming to the APSIA Schools may have been unrestricted, or was for general purposes, than has been the general pattern in corporate and foundation giving to universities over the past several decades. Most support from those sources has had to be solicited for very specific purposes. We can offer no good reason for why the APSIA Schools should be so favored, if, in fact, they are.

2. An Enhancing Federal Role

At Columbia, Fletcher, Georgetown, SAIS, USC, Washington, and Yale, a significant portion of the federal support received comes to them under

Title VI of the Higher Education Act, as follows:

	International Studies Support	Foreign Language and Area Study
Columbia	$140,554	$1,304,985
Georgetown	--	89,668
Hopkins/SAIS	122,600	58,000
USC	42,184	18,226
Tufts/Fletcher	102,507	56,291
Washington	163,447	954,827
Yale	116,906	622,532

Title VI supports various educational activities of an international character including graduate fellowships, faculty and doctoral dissertation research abroad, intensive summer language institutes, as well as campus-based foreign language and area study centers. With recent appropriations of only about $30 million annually, the program provides limited support to some 93 campus-based centers, 81 of them, dealing with a particular world area. The average grant, it has been calculated, now covers only about 5% of a center's costs -- far less than when Title VI was launched in the late 1950s as part of the Government's response to Sputnik. Even so, it has been the aim of the current Administration in every budget since 1981 to eliminate funding under Title VI. Only institutional pressure and Congressional insistence have maintained the program.

Such are the facts, even while heightened concern in business and government about the country's "international competitiveness" is again underscoring the importance of understanding foreign languages and cultures, and while cabinet-level departments such as State, Defense, and Commerce are all calling for greater expertise in foreign languages and international studies.

Stimulated by a request of the Department of Defense, the Association of American Universities in October 1986 issued a report entitled To Strengthen the Nation's Investment in Foreign Languages and International Studies: A Legislative Proposal to Create a National Foundation for Foreign Languages and International Studies. Paralleling the National Science Foundation and the National Endowments for the Arts and the Humanities, such a foundation would be expected "to formulate a coherent policy on international education" for the government and also would aim "to assure comprehensive, high quality language and area competency across all world areas; to encourage stable, long-term funding; and to foster effective linkages among academic scholars, government policymakers, and international business executives."

A legislative amendment sponsored by Senator Paul Simon in the fall of 1986 has called upon the Secretary of Education, in consultation with the Secretaries of State and Defense and the Directors of USIA and USAID, to study the feasibility of establishing a National Endowment for International Studies. The organizational concept matches that of the AAU. Subsequently, the AAU and a variety of scholarly and educational associations, business leaders, and others have formed a Coalition for the Advancement of Foreign Language and International Studies. Its purpose is "to seek broad agreement on a specific agenda for action and on the organizational structure most likely to promote 'high and broadly based competence in languages of the world and knowledge of the cultures and social arrangements of those with whom we both cooperate and compete, often simultaneously.'"

Much of the last three paragraphs is a paraphrase of an excellent, compact discussion in William G. Bowen's Report of the President, May 1987: International Studies at Princeton.[1] We draw attention to it because, concisely and with eminent good sense, it points into an area of concern and of opportunity that was raised with us at only one of the APSIA Schools. We have found it disturbing that so little interest has been displayed in this new, developing, potentially national initiative that might do for study and training in international affairs, broadly conceived, what Title VI did for foreign language and area centers in the early 1960s -- namely, give them a strong and far-reaching upward lift.

Moreover, as the two statements of purpose quoted in the preceding paragraphs illustrate, it is all too likely that the historic division between area specialists on the one hand and social-scientists on the other may vitiate the broad vision needed and leave international affairs programs out in the cold. As it is, members of the International Studies Association (the primary scholarly association for international studies as a whole) active in earlier efforts to gain increased Federal support of international studies feel that the then leadership of the APSIA Schools did not distinguish itself by standing aloof from those efforts. However that may be, inactivity now could only work to the disadvantage of the APSIA Schools and their common enterprise.

Surely, the broad initiative sponsored by the heads of the leading research universities, which constitute the membership of the AAU, is something in which the APSIA Deans and Directors should individually and collectively become engaged. Indeed, they should roll up their own sleeves to help advance it. There are also lots of their graduates out there in influential places in government, business, journalism and other productive occupations who might be alerted to help champion the cause.

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[1] The Association of American Universities' draft legislative proposal can be secured gratis from the organization's office at 1 Dupont Circle, Washington, D.C. A more discursive look at the needs to be met by such a national foundation for international studies and what it might be expected to accomplish is Points of Leverage, written by Richard D. Lambert (New York, Social Science Research Council, 1986).

EPILOGUE

Part of the mission assigned was to encourage and assist the APSIA members toward self-study. There is reason to believe that our questionnaires and visits have had some of that effect -- if not universally, yet in a good number of instances. A collateral objective was to make easier the sharing of practice, experience, and thought among the member institutions. We believe that the comparative data assembled and discussed in the foregoing chapters will help to do that.

The advice we have offered has been limited. Under the headings of curriculum and instruction, the recommendations that we have implied are:

- Every international affairs master's graduate should have had some substantial exposure to the study of a foreign region and its culture and have acquired at the minimum an FSI level-2 reading and oral competence in its language.
- Where the curriculum does not already include a broad, shared base of studies treating international politics, international economics, and modern political and diplomatic history, consideration should be given to the importance of that kind of literacy both for the graduate and the country.
- Masters-level students should be encouraged and assisted to acquire the quantitative skills and aspects of economics that will permit them to function effectively at an entry level in either the public or the private sector.
- For students who do not have adequate advance preparation along one or more of the foregoing three lines, a three-year Master's program should be offered as normal procedure.
- The case-method involving role playing is an instrument that can help advance the education of students who intend to be actors in as well as analysts of international affairs. It should be exploited, but not to the eclipsing of instruction in theory and history.
- In a number of Schools, more attention might be given to helping students integrate the disciplines in which they are required to study, but interdisciplinarity should not be pressed at the expense of a grasp on the analytic tools of the disciplines.

Finally, APSIA as an organization can, we believe, serve its members and help advance their common interests more fully than it does now. Possible areas of cooperation include:

- At least an annual exchange and collation of data on such "nuts and bolts" items as student enrollments, degrees granted, placement of graduates, faculty size, normal teaching load, volume of organized research, etc. (In some instances this will require the development of considerably better databases than are now in place.)

- Regular sharing of information among the Deans and Directors of new curricular and instructional developments and possibly also of major new research endeavors in the various Schools. (Included, importantly, might be arrangements to share on a continuing basis information, including syllabi and evaluations, of truly interdisciplinary educational experiences available to, or planned for, students in the various APSIA Schools.)

- Joint sponsorship of new case-studies in which scholars in APSIA institutions would collaborate with international affairs experts in foreign countries to develop composite or closely parallel case-studies covering selected critical international events or issues. (Such studies could provide a valuable added dimension to the study materials available to APSIA and other advanced students of international affairs).

- Reactivation of the students' arm of APSIA with the provision of sufficient support so that at least two students from each School could attend a week-end meeting at a central location and perhaps also develop an APSIA students' news-letter.

- Exploration of a common summer program, to be based at perhaps 2 or 3 of the Schools, designed to attract and prepare more minority students as applicants to the APSIA Schools.

- Exploration, in company with university libraries, of collaborative ways of collecting and having on call for APSIA faculty and students fugitive or "gray" literature of foreign countries.

- Vigorous and combined effort, involving also APSIA graduates, *to uphold the interest of the APSIA Schools* in the proposed National Foundation (or Endowment) for International Studies and to bring about its establishment.

THE END

Attachment #1

PRINCIPAL AND COLLATERAL INTERNATIONAL RELATIONS/ STUDIES MASTER'S DEGREES*

American:	Master of Arts in International Affairs
	Master of Arts in International Communications
	Master of Arts in International Development
	Master of Science in Development Management
UCSD	Master of Pacific International Affairs
Columbia	Master in International Affairs
Denver	Master of Arts in International Affairs
Georgetown	Master of Science in Foreign Service
	--MSFS/MA in Economics
	--MSFS/MA in History
	--MSFS/JD
	--MA in Arab Studies
George Washington	Master of Arts in International Affairs
	Master of Arts in East Asian Studies
	Master of Arts in Latin American Studies
	Master of Arts in Middle Eastern Studies
	Master of Arts in Russian and East European Studies
	Masters of Arts in Security Policy Studies
	Master of Arts in Science, Technology and Public Policy
Johns Hopkins/SAIS	Master of Arts
	Master of Arts in International Relations (Bologna)
Pittsburgh	Master of Public & International Affairs
Princeton	Master in Public Affairs
USC	Master of Arts in International Relations
Tufts/Fletcher	Master of Arts in Law & Diplomacy
Washington	Master of Arts in International Studies
	Master of Arts in East Asian Studies
	Master of Arts in Middle Eastern Studies
	Master of Arts in Russian and European Studies
	Master of Arts in South Asian Studies
Yale	Master of Arts in International Relations

*Collateral degrees are indented.

Attachment #2A

ADMISSIONS REQUIREMENTS

X denotes requirement P denotes preferred

	BA	GRE	LANG	MATH	SOCIAL SCIENCE
American	X	X			X
UCSD (IR/PS)	X	X	P	P	P
Columbia	X	X	X	P	P
Denver	X	X			P
Georgetown	X	X	X		X
George Washington	X	X			X
Johns Hopkins/SAIS	X	X	P		X
Pittsburgh	X				P
Princeton	X	X	P	P	P
USC	X	X			P
Tufts/Fletcher	X	X	P		P
Washington	X				
Yale	X	X	X		

Attachment #2B

SUBJECTS IN THE CORE CURRICULA

(These are approximate headings, used to demonstrate both commonalities and diversity among the Schools. See Attachment #3 for exact requirments.)

	Economics	Statistics	Admin/Management	Policy Analysis	Int'l. Relations	Int'l. Economics	Research Dev.	History	U.S. Foreign Policy	Int'l. Rel. Theory	Comp. Pol.	Int'l. Law
American												
UCSD	X	X	X	X	X	X					X	
Columbia	X	X		X	X			X	X			X
Denver		X					X	X				
Georgetown		X	X	X	X	X		X	X			
George Washington												
Johns Hopkins/SAIS					X	X			X	X	X	
Pittsburgh		X	X	X	X		X		X			
Princeton	X	X	X	X	X	X						
USC				X			X			X		
Tufts/Fletcher					XX	X						X
Washington	X				X	X	X			X		
Yale	X				X			X	X	X		

Attachment #3

CORE REQUIREMENTS BY INSTITUTION

American	5 to 8 courses in 1 Master's degree program out of 4 offered.
UCSD (IR/PS)	3 courses in Economics 3 courses in Comparative Policy Environments 3 courses in Management 2 courses in International Relations 1 course in Comparative Cultural Environments Foreign Language Quantitative Methods Policy Workshop
Columbia	1 course in International Politics 1 course in Foreign Historical and Political Processes 2 courses in Economics 1 course in Statistics 2 courses from the following 3 fields (1 course per field): --International Law, Conflict Resolution, and Human Rights --U.S. Foreign Policy --International Policy Analysis and Management
Denver	Requires 3 methods courses (statistics, research design, history research methods, etc... quite a wide range.)
Georgetown	Nine Required Courses: 2 terms of International Economy and Analysis 2 terms International Societal Relations as a Historical Process 2 terms Foreign Policy Workshop 2 terms Foreign Policy Decision Making and Implementation 1 term Quantitative Methods for Decision Making
George Washington	No required core courses
Johns Hopkins/SAIS	Passing a proficiency exam at the end of 2 years required in 3 of the following: --Evolution of the International System --Theories of the International System --Comparative National Systems --America and the World Since 1945

	An oral exam in International Economics is required at the end of the second year. Study of a foreign language, unless student passes proficiency exam in the beginning of program.
Pittsburgh	1 course in Quantitative Analysis 1 course in Public Policy Analysis and Program Evaluation 1 course in Research Methods 1 course in Administrative Theory 1 course in Theory and Practice of International Affairs Two classes in the following: --International Policy Economy --Foreign Policy Process --Seminar in International Security --Diplomacy and Negotiations
Princeton	1 term in Political Organizational Analysis 1 term in Quantative Analysis 1 term in Microeconomics 1 term in Macroeconomics 1 term in International Politics 1 term in International Economics Integrated Policy Exercise - end of first term. Qualifying Exam 1 - end of second term. In both of these exercises students are given a policy problem in which they must integrate the core (economics, statistics, and politics) into a memo "due at 5:00 to their boss" generally an undersecretary of a government department.
USC	Two core courses: --International Relations Theory --Philosophy of Science, Epistemology and Research Design OR --Policy Evaluation
Tufts/Fletcher	Minimum of 2 courses in 3 of 4 following divisions: --International Law and Organization --Diplomatic History and International --Political Relations --International Economic Relations --Political Institutions and Systems
Washington	3 quarter series of courses on International Issues and Institutions 2 quarters "practicum" on research methods 1 graduate level course in Economic Theory

Yale	History:	1 course on a major world power
		1 course on a major geographical area
	Politics:	1 course on I. R. Theory
		1 course on Comparative Politics
	Economics:	1 course on Macroeconomics
		1 course on International Economics

Attachment #4

CONCENTRATIONS AND FIELD REQUIREMENTS BEYOND THE CORE

American	12 semester hours in each of 2 fields and 2 written field exams: --International Relations --International Communications --International Development --International Economic Policy --International Law and Organizations --Comparative and Cross-National Studies --Regional International Systems --United States Foreign Policy
UCSD (IR/PS)	3 courses in a Career Specialization from one of the following fields: --International Management --International Relations --Comparative Public Policy 3 courses in a Regional Specialization --East Asia --Latin America --SE Asia and So. Pacific Columbia
Columbia	6 courses in one of the following Functional or Regional Specializations: Functional: Economic and Political Development, Human Rights and International Law, International Business, International Economics, Media and Communications, International Political Economy, International Security Policy, Policy Analysis and Public Management. Regional: Africa, East Asia, East Central Europe, Soviet Union, Latin America, Middle East, Southern Asia, Western Europe.
Denver	Three Fields: International Politics: 2 required courses, 3 electives in field. Comparative Politics: 2 required courses, 2 electives in a geographical area, 2 electives in comparative politics. International Economics: 3 required courses, 3 electives in field. Four Concentrations: 1 to 3 required courses plus 2-5 electives within a concentration: --Global Conflict --Development Studies

	--International Technology Analysis and Management --Human Rights
Georgetown	Choice of one Field required: --U.S. Foreign Policy and Diplomacy --International Trade, Finance, and Business Diplomacy --Comparative Studies and Regional Studies
George Washington	Students must choose one general field (below), 2 or 3 other fields, and span at least 2 disciplines. General fields: --International Politics --Comparative Politics --International Economics --Modern Political Theory
Johns Hopkins/SAIS	2 of the following fields must be chosen of which one must be International Economics. --International Economics: equivalent of 4 "basic courses" plus advanced study --International Relations: 6 courses beyond core --Social Change and Development: 6 courses beyond core --Choice among 8 Regional/Geographic Fields: usually 5 or more courses beyond core and language requirement
Pittsburgh	A minimum of 6 International Affairs courses in an area of student's choice.
Princeton	One Field required within which 2 courses are required plus relevant electives: --International Relations --Development Studies --Economics and Public Policy
USC	Three field courses from among: --International Politics and Diplomacy --International Political Economy --Foreign Policy Analysis --Defense and Strategic Studies --Regional Subsystems

Tufts/Fletcher	Minimum of 3 courses in 3 of the following fields: --Public and International Law --International Organization --Private International Law --Law and Social Change --Diplomatic History and Foreign Policies: U.S. --Diplomatic History and Foreign Policies: Europe --Diplomatic History and Foreign Policies: Communist areas --Diplomatic History and Foreign Policies: Asia --Diplomatic History and Foreign Policies: Western Hemisphere --Diplomatic History and Foreign Policies; Southwest Asia and Islamic Civilization --Civilization and Foreign Affairs --International Information and Communication --International Trade and Commerce --International Monetary Theory --Development Economics --International Business Relations --International Energy and Resources --International Nutrition Food and Agriculture --Political Systems and Theory --International Security --Comparative and Developmental Political Analysis
Washington	Choice of 2 Fields (3 courses each) among the following: Regional Fields: East Asia, Middle East, South Asia, Russia, and Eastern Europe. Professional Fields: Courses in a Professional School can count here. (Currently a professional degree or enrollment in a professional school is recommended.) Topical Series: Advanced Topics in International Studies.
Yale	8 courses minimum and 10 maximum in one of the following Fields of Concentration: --History --Economics --Political Science --Management --Area Studies --Law --Public Health --International Security/Arms Control

Attachment #5

APSIA FACULTY DATA

1. American, SIS

   a. In-house appointments: 58
   Joint w/departments: 4

   b. Full time: 32
   Part time: 30

   c. Academics: 50
   Practitioners: 12

   d. FTEs: 23

   e. Normal teaching load:
   3 courses per semester

   f. Faculty/student
   ratio: 1:52

2. Columbia, SIPA

   a. In-house appointments: 34
   Joint w/departments:* 132

   b. Full time: 132
   Part time: 34

   c. Academics: 148
   Practitioners: 18

   d. FTEs: 141

   e. Normal teaching load:
   4 courses per
   academic year

   f. Faculty/student
   ratio: 1:10.5

3. UCSD, IR/PS (Plan for 1991/92)

   a. In-house appointments: 30
   Joint w/departments: 20
   Affiliates 30

   b. Full time: 70
   Part time: 10

   c. Academics: 70
   Practitioners: 10

   d. FTEs: 35 (excluding affiliates)

   e. Normal teaching load: 4-5
   courses per yr. in a qtr. system

   f. Faculty/student
   ratio: 1:22

* At Columbia and Yale all regular appointments are solely in departments, not joint in a technical or *de jure* sense. Numbers here indicate faculty regularly associated with school's program and so *de facto* shared with the school.

APSIA FACULTY DATA

4. Denver, GSIS

   a. In-house appointments: 26
      Joint w/departments: 0

   b. Full time: 16
      Part time: 10

   c. Academics: 26
      Practitioners: 0

   d. FTEs: 20

   e. Normal teaching load:
      4 quarter-length courses per year

   f. Faculty/student ratio: 1:6

5. Georgetown, SFS

   a. In-house appointments: 62
      Joint w/departments: 20

   b. Full time: 52
      Part time: 30

   c. Academics: 50
      Practitioners: 32

   d. FTEs: ?

   e. Normal teaching load:
      3 courses per semester

   f. Faculty/student ratio: 1:17*

6. George Washington, SIA**

   a. In-house appointments: 52
      Joint w/departments:* 56

   b. Full time: 78
      Part time: 30

   c. Academics: 78
      Practitioners: 30

   d. FTEs: 55 overall,
      22 for MAIA program only

   e. Normal teaching load:
      3 per semester, university wide;
      5 per year on average in SIA

   f. Faculty/student ratio: 1:11

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* In core curriculum

** At SIA, all full time appointments but two are joint. However, SIA exercises budgetary control over 22 now, with the expectation of controlling 27 by 1990. Fifty-six are budgeted solely in departments.

APSIA FACULTY DATA

7. Johns Hopkins, SAIS

a. In-house appointments: 104
Joint w/departments: 0

b. Full time: 32
Part time: 72

c. Academics: 42
Practitioners: 62

d. FTEs: 52***

e. Normal teaching load:
2 courses per semester

f. Faculty/student
ratio: 1:6

8. Pittsburgh, GSPIA****

a. In-house appointments: 9
Joint w/departments:

b. Full time: 9
Part time:

c. Academics: 9
Practitioners:

d. FTEs: 9

e. Normal teaching load:
6 courses per academic
year, but 8 in some cases

f. Faculty/student
ratio: 1:9

9. Princeton, WWS****

a. In-house appointments: 13
Joint w/departments: 23

b. Full time: 24
Part time: 12

c. Academics: 33
Practitioners: 3

d. FTEs: 15.75

e. Normal teaching load:
3 courses per
academic year

f. Faculty/student
ratio: 1:6

***Plus 17 FTE Language Faculty

****Domestic Public Affairs faculty excluded

APSIA FACULTY DATA

10. USC, SIR

a. In-house appointments: 19
Joint w/departments: 1

b. Full time: 19
Part time: 1

c. Academics: 19
Practitioners: 1

d. FTEs: 20

e. Normal teaching load:
4 smstr. courses per yr.

f. Faculty/student
ratio: 1:10

11. Tufts, FSLD

a. In-house appointments: 38
Joint w/departments: 1

b. Full time: 24
Part time: 15

c. Academics: 38
Practitioners: 1

d. FTEs: 29.75

e. Normal teaching load:
2 courses per semester

f. Faculty/student
ratio: 1:8

12. Washington, JSIS

a. In-house appointments: 17
Joint w/departments: 19

b. Full time: 10
Part time: 26

c. Academics: 36
Practitioners:

d. FTEs: 22

e. Normal teaching load:
4 qtr. courses per year

f. Faculty/student
ratio: 1:6

13. Yale, CIAS

a. In-house appointments:
Joint w/department:* 68

b. Full time:
Part time: 68

c. Academics: 68
Practitioners:

d. FTEs: 15 (est.)

e. Normal teaching load:
4 courses per year

f. Faculty/student:
ratio: 1:4

* Same footnote as on p. 1 of the attachment.

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Attachment #6

MASTER'S STUDENTS: ENROLLMENT 1986-87

	Total	Full Time	Part Time	% Female	% Foreign
American	467	175	292	43%	26%
UCSD (IR/PS)					
Columbia	466	420	46	50%	20%
Denver	70	--	--	30%	53%
Georgetown	122			41%	27%
George Washington	506	192	314	44%	13%
Johns Hopkins/SAIS	402	353	49	42%	30%
Pittsburgh	112	82	30	35%	20%
Princeton	95	95	0	30%	13%
USC	71	71	--	46%	23%
Tufts/Fletcher	223	223	0	43%	34%
Washington	125	106	19	34%	25%
Yale	39	39	0	33%	48%
	2698	1948	750		

Ph.D. STUDENTS AND MID-CAREER: ENROLLMENT 1986-87.

Ph.D. STUDENTS				AND MID-CAREER (one-yr. programs)
	Total	Full Time	Part Time	Total
American	64	16	48	62
Denver	128	(ca. ½	ca. ½)	--
Georgetown	--			8-10
Johns Hopkins/SAIS*	86	15	71	58
Pittsburgh	10	4	6	--
Princeton	18	18	--	13
USC	98	98	--	--
Tufts/Fletcher	23	23	--	26**
	427			169

*Includes Bologna

**There are in addition 25 students in mid-career enrolled in Fletcher's regular 2-yr. Master's degree program.

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Attachment #7

COMPREHENSIVE COMPARISON OF MASTER'S PROGRAMS

School of International Service

University Affiliation:	AMERICAN UNIVERSITY
Year Established:	1957
Degree Titles:	Master of Arts in International Affairs Master of Arts in International Communications Master of Arts in International Development Master of Science in Development Management
Listed Duration of Program:	2 academic years
Current Enrollment:	467 Masters; 64 PhD; 62 mid-career
Size of Faculty:	Total: 62 FTE: 29
Faculty Appointments:	In House
Recruitment Staff:	0
Career Placement Staff:	0
Core Requirements:	No core requirements (5 to 8 optional courses expected within selected degree program.)
Field Requirements (beyond the core:)	12 semester hours in each of 2 fields and 2 written field exams --International Relations --International Communications --International Development --International Economic Policy --International Law and Organizations --Comparative and Cross-National Studies --Regional International Systems --United States Foreign Policy
Recent Masters Graduates:	Public: 37% Private: 30% Non-profit: 23% Academia: 10% Unknown: 10%

Attachment #7

School of International Relations and Pacific Studies

University Affiliation:	UNIVERSITY OF CALIFORNIA AT SAN DIEGO
Year Established:	1986
Degree Title:	Master of Pacific International Affairs (M.P.I.A.) PhD in International Affairs
Listed Duration of Program:	2 and 3 years (Master's degree)
Current Enrollment:	nil
Size of Faculty:	35 FTE planned for 1991-92
Faculty Appointments:	Planned: 30 School only and 20 joint
Recruitment Staff:	1
Career Placement Staff:	2
Core Requirements:	3 courses in Economics 3 courses in Policy Environments 3 courses in Management 2 courses in International Relations 1 course in Comparative Cultural Environments Foreign Language Quantitative Methods Policy Workshops
Field Requirements (beyond the core):	3 courses in Career Specialization from one of the following fields: --International Management --International Relations --Comparative Public Policy --3 courses in an appropriate Regional Specialization
Recent Masters Graduates:	no track record as yet

Attachment #7

School of International and Public Affairs

University Affiliation:	COLUMBIA UNIVERISTY
Year Established:	1946
Degree Title:	Master of International Affairs (M.I.A.)
Listed Duration of Program:	2 years
Current Enrollment:	466
Size of Faculty:	166 (FTE, 141)
Faculty Appointments:	*De jure* all in departments; *de facto* shared.
Recruitment Staff:	2
Career Placement Staff:	3
Core Requirements:	1 course in International Politics 1 course in Foreign Historical and Political Processes 2 courses in Economics 1 course in Statistics 2 courses from the following 3 fields (1 course per field) --International Law, Conflict Resolution, and Human Rights --U.S. Foreign Policy --International Policy Analysis & Management
Field Requirements (beyond the core):	6 courses in one of the following Function or Regional Specializations: *Functional*: Economic and Political Development, Human Rights and International Law, International Business, International Economics, International Finance and Banking, International Media and Communications, International Political Economy, International Security Policy, Policy Analysis and Public Management. *Regional*: Africa, East Asia, East Central Europe, Soviet Union, Latin America, Middle East, Southern Asia, Western Europe.

Recent Masters Graduates: Public: 24% Private: 45%
Non-profit: 11% Academia: 19%
Unknown: 2%

Attachment #7

Graduate School of International Studies

University Affiliation:	UNIVERSITY OF DENVER
Year Established:	1964
Degree Title:	Master of Arts in International Affairs
Listed Duration of Program:	2 years
Current Enrollment:	70 Masters; 128 PhD
Size of Faculty:	Total 26; FTEs 20
Faculty Appointments:	In House
Recruitment Staff:	1
Career Placement Staff:	1
Core Requirements:	Requires 3 methods courses (statistics, research design, history research methods, etc...quite a wide range.)
Field Requirements (beyond the core):	Three Fields: International Policies: 2 required courses, 3 electives in field. Comparative Politics: 2 required courses, 2 in geographical area, 2 electives in comparative politics. International Economics: 3 required courses, 3 electives in field. Four Concentrations: 1 to 3 required courses plus 2-5 electives within concentration. --Global Conflict --Development Studies --International Technology Analysis and Management Human Rights
Recent Masters Graduates:	data not available

Attachment #7

Walsh School of Foreign Service

University Affiliation:	GEORGETOWN
Year Established:	1919
Degree Title:	Master of Science in Foreign Service
Listed Duration of Program:	2 years
Current Enrollment:	122 Masters; 50 JD/MSFS; 8-10 mid-career
Size of Faculty:	Total 82; FTEs ?
Faculty Appointments:	3/4 In House; 1/4 shared
Recruitment Staff:	1.5
Career Placement Staff:	2
Core Requirements:	Nine Required Courses 2 terms of International Economy and Analysis 2 terms International Societal Relations as a Historical Process 2 terms Foreign Policy Workshop 2 terms Foreign Policy Decision Making and Implementation 1 term Quantitative Methods for Decision Making
Field Requirements (beyond the core):	Choice of one Field required: --U.S. Foreign Policy and Diplomacy --International Trade, Finance, and Business Diplomacy --Comparative Studies and Regional Studies
Recent Masters Graduates:	Public: 41% Private: 39% Non-profit: 5% Academia: 6%

Attachment #7

School of International Affairs

University Affiliation: GEORGE WASHINGTON UNIVERSITY

Year Established: 1966[*]

Degree Title:
Master of Arts in International Affairs
Master of Arts in East Asian Studies
Master of Arts in Latin American Studies
Master of Arts in Middle Eastern Studies
Master of Arts in Russian and East European Studies
Master of Arts in Security Policy Studies
Master of Arts in Science, Technology and Public Policy

Listed Duration of Program: 2 academic years

Current Enrollment: 506

Size of Faculty: Total 108; FTEs 55

Faculty Appointments: All but 2 joint appointments

Recruitment Staff: 2

Career Placement Staff: 0

Core Requirements: No core requirments

Field Requirements (beyond the core): Students must choose one general field (below), 2 or 3 other fields, and span at least 2 disciplines.

General Fields:
--International Politics
--Comparative Politics
--International Economics
--Modern Political Theory

Recent Masters Graduates:
Public: 41% Private: 33%
Non-profit: 7% Academia: 6%

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[*] Established as School of Public and International Affairs, 1966. Separated out and reorganized as SIA in 1987.

Attachment #7

School of Advanced International Studies

University Affiliation:	THE JOHNS HOPKINS UNIVERSITY
Year Established:	1943
Degree Title:	Master of Arts (M.A.)
Listed Duration of Program:	2 years
Current Enrollment:	386 Masters; 86 PhD; 58 mid-career
Size of Faculty:	24 regular; 8 full-time adjunct; 79 part-time; 17 language
Faculty Appointments:	All In House
Recruitment Staff:	2
Career Placement Staff:	2
Core Requirements:	Core exams must be passed in 3 of the following: --Evolution of the International System --Theories of the International System --Comparative National Systems --America and the World Since 1945 An oral exam in International Economics is required at the end of the second year. Study of a foreign language, unless student passes proficiency exam in the beginning of program.
Field Requirements (beyond the core)	2 of the following fields must be chosen of which one must be International Economics. --International Economics: equivalent of 4 "basic courses" plus advanced study --International Relations: 6 courses beyond core --Social Change and Development: 6 courses beyond core --Choice among eight Regional/Geographic Fields: usually 5 or more course beyond core and language requirement
Recent Masters Graduates:	Public: 24% Private: 48% Non-profit: 14% Academia: 14%

Attachment #7

Graduate School of Public and International Affairs

University Affiliation:	UNIVERSITY OF PITTSBURGH
Year Established:	1957
Degree Title:	Master of Public and International Affairs
Listed Duration of Program:	20 months
Current Enrollment:	112
Size of Faculty:	9
Faculty Appointments:	In House
Recruitment Staff:	1
Career Placement Staff:	1
Core Requirements:	1 course in Quantitative Analysis 1 course in Public Policy Analysis and Program Evaluation 1 course in Research Methods 1 course in Administrative Theory 1 course in Theory and Practice of International Affairs Two classes in the following: --International Policy Economy --Foreign Policy Process --Seminar in International Security OR --Diplomacy and Negotiations
Field Requirements (beyond the core):	A minimum of 3 additional International Affairs courses in an area of student's choice.
Recent Masters Graduates:	Public 32% Private 16% Non-profit 5% Academic 14%

Attachment #7

Woodrow Wilson School of Public and International Affairs

University Affiliation:	PRINCETON UNIVERSITY
Year Established:	1930
Degree Title:	Master in Public Affairs (M.P.A.)
Listed Duration of Program:	2 years (including summer in between)
Current Enrollment:	Master's 95; PhD 18; mid-career, 13
Size of Faculty:*	Total 36; FTEs 15.75
Faculty Appointments:	2/3 Joint; 1/3 In House
Recruitment Staff:	2
Career Placement Staff:	3
Core Requirements:	3 areas are defined as the core of the MPA program with required core courses --Political and Organizational Analysis --Quantitative Methods --Economic Analysis
Field Requirements (beyond the core):	Concentrators in International Relations face a secondary required core of 1 course in each of International Politics and of International Economics.
Recent Masters Graduates:	Public: 52% Private: 25% Non-profit: 9% Academia: 17%

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* International Affairs faculty only.

Attachment #7

School of International Relations

University Affiliation:	UNIVERSITY OF SOUTHERN CALIFORNIA
Year Established:	1924
Degree Title:	Master of Arts in International Relations (M.A.I.R.)
Listed Duration of Program:	2 years
Current Enrollment:	71 Masters; 98 PhD
Size of Faculty:	20
Faculty Appointments:	All In House
Recruitment Staff:	0
Career Placement Staff:	0
Core Requirements:	2 core courses: --International Relations Theory --Philosophy of Science, Epistomology and Research Design OR --Policy Evaluation
Field Requirements (beyond the core):	12 semester hours in each of 2 fields and 2 written field exams from among: --International Relations --International Communications --International Development --International Economic Policy --International Law and Organizations --Comparative and Cross-National Studies --Regional International Systems --United States Foreign Policy
Recent Masters Graduates:	Public: 37% Private: 30% Non-profit: 23% Academia: 10%

Attachment #7

Fletcher School of Law and Diplomacy

University Affiliation:	TUFTS UNIVERSITY
Year Established:	1933
Degree Title:	Master of Arts in Law & Diplomacy (M.A.L.D.)
Listed Duration of Program:	2 years
Current Enrollment:	223 MALD; 23 PhD; 26 mid-career
Size of Faculty:	Total 39; FTEs, 29.75
Faculty Appointments:	All In House but 1
Recruitment Staff:	2.5
Career Placement Staff:	2
Core Requirements:	Minimum of 2 courses in three of following 4 divisions: --International Law and Organization --Diplomatic History and International Political Relations --International Economic Relations --Political Institutions and Systems
Field Requirements (beyond the core):	Minimum of 3 courses in 3 of the following fields: --Public and International Law --International Organization --Private International Law --Law and Social Change --Diplomatic History and Foreign Policies: U.S. --Diplomatic History and Foreign Policies: Europe --Diplomatic History and Foreign Policies: Communist areas --Diplomatic History and Foreign Policies: Asia --Diplomatic History and Foreign Policies: Western Hemisphere --Diplomatic History and Foreign Policies: SW Asia/Islam --Civilization and Foreign Affairs --International Information and Communication

--International Trade and Commerce
--International Monetary Theory
--Development Economics
--International Business Relations
--International Energy and Resources
--International Nutrition Food and Agriculture
--Political Systems and Theory
--International Security
--Comparative and Developmental Political Analysis

Recent Masters Graduates:	Public: 34%	Private: 35%
	Non-profit: 9%	Academia: 17%

Attachment #7

Henry M. Jackson School of International Studies

University Affiliation:	UNIVERSITY OF WASHINGTON
Year Established:	1984 (Masters Program)
Degree Title:	Master of International Studies
Listed Duration of Program:	2 years (for students already holding a professional degree), 3 years otherwise.
Current Enrollment:	30
Size of Faculty:	Total 36; FTEs, 22
Faculty Appointments:	In House and Joint, almost half and half
Recruitment Staff:	1/2 FTE
Career Placement Staff:	1/2 FTE
Core Requirements:	3 quarter series of courses on International Issues and Institutions 2 quarters "practicum" on research methods 1 graduate level course in Economic Theory
Field Requirements (beyond the core):	Choice of 2 Fields (3 courses each) among the following: Regional fields: East Asia, Middle East, South Asia, Russia, and Eastern Europe. Professional Fields: Courses in Professional School can count here. (Currently a professional degree or experience or enrollment in a professional school is required.) Topical Series: Advanced Topics in International Studies.
Recent Masters Graduates:	Public: 14% Private: 54% Non-profit: 1% Academia: 31%

Attachment #7

Center for International and Area Studies

University Affiliation:	YALE UNIVERSITY
Year Established:	1961
Degree Title:	Master of Arts in International Relations
Listed Duration of Program:	2 years
Current Enrollment:	39 ('86/'87); 60 ('87-'88)
Size of Faculty:	Total 68; FTEs, 15
Faculty Appointments:	*De jure* all in departments; *de facto* all shared.
Recruitment Staff:	0
Career Placement Staff:	1
Core Requirements:	History: --1 course on a major world power --1 course on a major geographical area Politics: --1 course on I.R. Theory --1 course on Comparative Politics Economics: --1 course on Macroeconomics --1 course on International Economics
Field Requirements (beyond the core):	8 courses minimum and 10 maximum in one of the following Fields of: --History --Political Science --Management --Area Studies --Law --Public Health --International Security/Arms Control
Recent Masters Graduates: (approx.)	Public: 30% Private: 25% Non-profit: 20% Academia: 25%

NAME OF INSTITUTION: ______________________________

(N.B.: Schools purveying both domestic public affairs and international affairs programs please exclude in so far as possible data relating to the former. If this is not possible, please be sure to indicate that public affairs data are included and give us an estimate of the percentage of enrollments, appointments, etc., which they may represent.)

PART A: General statistics:

1. Faculty:

a) Full time (total): ______
   Academics: (   )
   Practitioners: (   )

b) Part time (total): ______
   Academics: (   )
   Practitioners: (   )

c) Full time equivalents (total): ______
   Academics: (   )
   Practitioners: (   )

2. Students:

	2 yr. Masters	Ph.D	Mid-career	Total
a. Current enrollment:	____	____	____	____
Full time	( )	( )	( )	( )
Part time	( )	( )	( )	( )
b. Enrollment - 1982/3:	____	____	____	____
Full time	( )	( )	( )	( )
Part time	( )	( )	( )	( )
c. Applications:				
For 1986/7	____	____	____	____
For 1982/3	____	____	____	____
d. New admissions:				
For 1986/7	____	____	____	____
For 1982/3	____	____	____	____
e. Degrees awarded:				
In 1985/6	____	____	____	____
In 1981/2	____	____	____	____

f. Percentages:
   Women — Now ____ 5 years ago ____
   Foreign — Now ____ 5 years ago ____
   Direct entrants into Masters program from college — Now ____ 5 years ago ____

g. Average age of entrants? Now ____ 5 years ago ____

h. Average time to Masters degree? Now ____ 5 years ago ____

i. Average indebtedness of Masters students at graduation: ______________________________

j. Percentages of Masters students:

Intending public service at entry: 1986 ____ 5 yrs. ago ____
Seeking public service after degree: 1986 ____ 5 yrs ago ____
Entering public service after degree: 1986 ____ 5 yrs. ago ____

3. Student services:

   a. Financial aid available
      Fellowships (number and amount): ______________________
      TA's: ______________________
      RA's: ______________________

   b. Internships:
      How many students have them? ______________________
      How active is School in placing interns? ______________________
      ____

   c. What are your staff resources for:
      (1) Student recruitment? Total _____ Per student capita _____
      (2) Student career counselling and placement? Total _____ Per student capita _____

4. Alumni Association

   a. Yes _____; No _____.

   b. Active in fund raising? _____
      Active in placement? _____

5. Endowment designated for School:

   a. Yes _____; No _____.

   b. If yes, approximate amount: $__________
      If yes, general purposes?: __________
      If yes and restricted, to what?: ______________________
      ____

6. Outside support, each of last 3 years:

	1983/4	1984/5	1985/6	Total
a. Alumni:				
(1) general purpose	_____	_____	_____	_____
(2) instruction	_____	_____	_____	_____
(3) research/publications	_____	_____	_____	_____
(4) equipment/bldg.	_____	_____	_____	_____
b. Corporations:				
(1) general purpose	_____	_____	_____	_____
(2) instruction	_____	_____	_____	_____
(3) research/publications	_____	_____	_____	_____
(4) equipment/bldg.	_____	_____	_____	_____
c. Foundation grants:				
(1) general purpose	_____	_____	_____	_____
(2) instruction	_____	_____	_____	_____
(3) research/publications	_____	_____	_____	_____
(4) equipment/bldg.	_____	_____	_____	_____
d. U.S. government:				
(1) general purpose	_____	_____	_____	_____
(2) instruction	_____	_____	_____	_____
(3) research/publications	_____	_____	_____	_____
(4) equipment/bldg.	_____	_____	_____	_____
e. State government:				
(1) general purpose	_____	_____	_____	_____
(2) instruction	_____	_____	_____	_____
(3) research/publications	_____	_____	_____	_____
(4) equipment/bldg.	_____	_____	_____	_____

7. Career breakdown of recent graduates

a. U.S. & Canadian citizens:	Now		5 years ago	
	MA-Level	Ph.D's	MA-Level	Ph.D's
Government:	___%	___%	___%	___%
International organization:	___%	___%	___%	___%
Academia:	___%	___%	___%	___%
Business and Banking:	___%	___%	___%	___%
Professions:	___%	___%	___%	___%
Non-profit public service:	___%	___%	___%	___%

b. Foreign students:	Now		5 years ago	
	MA-Level	Ph.D's	MA-Level	Ph.D's
Government:	___%	___%	___%	___%
International organization:	___%	___%	___%	___%
Academia:	___%	___%	___%	___%
Business and Banking:	___%	___%	___%	___%
Professions:	___%	___%	___%	___%
Non-profit public service:	___%	___%	___%	___%

8. Graduates of last 2 years:

a. U.S. and Canadian citizens:
  (1) % employed in international related activities: ________
  (2) % employed in other jobs: ________
  (3) % not employed: ________

b. Foreign students:
  (1) % employed in international related activities: ________
  (2) % employed in other jobs: ________
  (3) % not employed: ________

NAME OF INSTITUTION: ______________________________

PART B-1: Self-contained, two-year Masters-level Program: (If there is more than one, please list others on a separate sheet and indicate for each where requirements differ.)

1. ______________________________
(program title)

a. Degree awarded: ______________________________

b. Admissions requirements:

1) Bachelor's degree or equivalent? ______
2) GRE's? ______
3) Foreign language? ______
4) Mathematical/quantitative training, and if so, how much? ______________________________

5) Social science background, and if so, how much? ______________________________

6) Other: ______________________________

c. Curriculum:

1) Required credit hours and equivalent academic years: ______

2) Required core courses, and/or field requirements: ______

3) Field Requirements: ______________________________

4) Required economic analysis competence?

Yes ____; No ____
Describe: ______________________________

5) Required statistics/quantitative analysis?

Yes ____; No ____
Describe: ______________________________

PART B-1: (Cont'd.)

6) Required study of administration or organizational management?

Yes _____; No _____
Describe: ____
____

7) Required foreign language competence?

Yes _____; No _____
Oral _____; Reading _____

Level of Proficiency: ____
____
____

8) Regional or area study:

Optional? _____
Required? _____
If latter, what and how much? ______________________________
____

9) Cross-cultural study: ______________________________

Optional? _____
Required? _____
If latter, what and how much? ______________________________
____

10) Field-work: Definitely a big part of the program but not required. (?)

internships: optional ____; required ____
work study: optional ____; required ____

11) Teaching methods in use:

	common	some	none
	(1 seminar or colloquium required)		
Case studies	____	____	____
Simulations	____	____	____
Policy workshops or conferences	____	____	____

Other -- ____

12) Thesis or major research paper: required ____; optional____

13) Examinations Required:

Comprehensive Final yes _____ no _____
Qualifying examinations in core? yes _____ no _____
If yes describe ____
____
____
____

NAME OF INSTITUTION: ______________________________

PART B-2: **Joint Masters Programs**

1. Title of Program: ______________________________
   - a. Degree Awarded: ______________________________
   - b. Normal enrollment: ______________________________
   - c. Name of Other Participating School or University: Columbia
   - d. Normal time to degree: ______________________________
   - e-1. Normal time and/or number of semester courses in your school: ______________________________
   - e-2. Normal time and/or number of semester courses in other school or institution: ______________________________
   - f. Added comments: ______________________________

(Comparable information for each joint program.)

NAME OF INSTITUTION: ______________________________

PART C: Advanced education and organized research

1. **Ph.D Program:**

   a. Normal span of time to Ph.D: ______________________________

   b. Course requirements beyond those of the Master's degree: __________

   c. Fields of concentration: ______________________________

   d. Other requirements (if any) besides a dissertation: __________

   e. (1) Field-work or learning derived from hands-on engagement in a policy issue, (2) an orientation to policy issues and problem solving, and (3) inter-disciplinary dimensions are all ways in which Ph.D dissertations might differ from those in the traditional disciplines.

      Which if any of these characterize dissertations in your school and is any one, or more, of them a requirement? __________

   f. Do you see your Ph.D program as being deliberately aimed to provide?

      1) college and university faculty: Yes ____ No ____
      2) non-academic researchers and analysts: Yes ____ No ____
      3) future leaders and shapers of policy: Yes ____ No ____

   g. If you can distinguish the extent of the influence of the above objectives on the shape and content of your Ph.D program, to which would you give the most weight? __________ ______________________________; and the least? __________

2. **Research Institutes or Centers connected with PSIA:**

   a. Name: ______________________________
      Principal research foci (if not clear from name): __________

      Number of PSIA faculty normally involved: __________
      Number of PSIA students normally involved: __________

   b. Name: ______________________________

      Principal research foci (if not clear from name): ______________________________

      Number of PSIA faculty normally involved: __________
      Number of PSIA students normally involved: __________

PART C: (Cont'd.)

c. Name: ____________________
Principal research foci (if not clear from name): __________

Number of PSIA faculty normally involved: __________
Number of PSIA students normally involved: __________

d. Institute of War and Peace Studies.

e. Regional Institutes:

3. Research Projects:

a. Please name and describe briefly the major collaborative research projects now underway or impending under the auspices of your PSIA. Indicate source, amount of funding and duration of project. __________

b. Please indicate significant individual research projects being undertaken with external funding. Indicate source, amount, and expected duration of project. __________

NAME OF INSTITUTION: ____________________

PART D: **Mid Career Programs involving international affairs:**

1. Enrollments:

	Now	5 yrs. ago
Number as 1-yr. Masters candidates	____	____
Number non-degree candidates	____	____
Number foreign	____	____

2. Origin of mid career students in international affairs:

	Now	5 yrs. ago
U.S. government agencies	____%	____%
U.S. business or banking	____%	____%
U.S. media	____%	____%
Foreign governments	____%	____%
Foreign private enterprise	____%	____%
International organizations	____%	____%
Other	____%	____%

3. Qualifications for admission: ____________________

4. To what extent is each student's program shaped to his/her particular professional needs and interests?

   Partially ____? Largely ____? Entirely ____?

5. Degree requirements, where relevant:

   a. Are there specific course requirements. If so what and how many? ____________________

   b. Required research or policy analysis paper? ____________________

6. Are some fields of study markedly more in demand by your mid career students than others? If so, which ones?

   Administration and management ____
   Business ____
   Economics ____
   Diplomacy ____
   International relations ____
   Law ____
   Political institutions and systems ____
   U.S. foreign policy ____

NAME OF INSTITUTION: ______________________________

PART E: Supplementary questions for discussion:

1. Given the complexity of world affairs and the apparently increasing demands for various sorts of specialized competence, can a two-year degree program still be thought to provide adequate professional preparation for persons seeking careers in international affairs?
   Even if a three-year degree might be preferable, is it marketable other than as a joint degree program with, say, business or law?

2. How about regional or area studies? Can a two-year Masters program hope to produce, under normal circumstances, graduates who both have some understanding in depth of a foreign region or culture and possess requisite analytical and functional skills?
   If not, what would be a feasible norm for the acquisition of such dual competence?
   Even if not, should there be within the context of the two-years Masters degree some minimal requirement of cross-cultural or foreign-area study? If so, how would you define it?

3. Given the constraints on time, where do you think the major curriculum emphasis should be: Analytical and functional skills? Trans-national studies? Area studies? Comparative studies?

4. Do you think current students are as good as those five or ten years ago? Can you make comparisons of quality over the past five years on the basis of numbers of Phi Beta Kappa and summa graduates, GRE scores, or other objective measures?

5. Would you say that most of your current students are more oriented toward public service careers than those five years ago, or less? If there has been a change, to what do you attribute it?

6. At most PSIA's tuition charges are high and getting higher while financial aid for students remains scanty. Does this mean education in them will increasingly be accessible only to those with personal means?
   What is being, or can be, done to encourage and assist members of minorities and others with very limited resources to undertake education for careers in the international arena?

7. Do you see joint degree programs with other professional schools becoming a more frequent or less frequent option for your students? Do you expect to expand or encourage such options? If so, in conjunction with what professions particularly? And, how genuinely joint in concept and execution are existing joint degree programs as against being merely study in parallel for two degrees?

8. How well do you consider your School (Program) to be integrated into your University in the sense of being able to draw upon, and receive active reinforcement from, the faculty of other departments and schools?
   What about joint faculty appointments, elective course opportunities outside the School for credit, etc.

9. Conversely, how important is it for a PSIA to have its own faculty? To what extent is your faculty based either entirely or primarily within your School (Program)?

10. What do you envision to be the principal job markets for your graduates in the next 5 to 10 years? Any marked changes from the current pattern? Are there new job markets that you are trying to serve?

11. How much and in what ways will, or should, the market for graduates direct new faculty hires and/or curriculum development? What shifts in staffing patterns do you envision? E.G., will you be drawing on practitioners more?. or less?

PART E: (Cont'd.)

12. Would you say that your Master's program is aimed to produce mainly a) competent specialists in aspects of international affairs or international affairs generalists; b) mid-level public servants and private sector managers or eventual leaders and CEO's?

How, if at all, do these aims bear on the shape and content of your curriculum? on your admissions policy? on your staffing?

13. What if any shifts or new developments do you envision in your curriculum over the next 5 years. E.G., Will the curriculum become more specialized, or less? Will it include more attention to history and culture, or less? Will it point more to commercial as against public service interests, or less? Etc.

14. In this connection, has economics had a more prominent place in your curriculum over the last 10 years? If so, in what ways?

Likewise for mathematics, quantitative analysis, and/or statistics?

Likewise for organizational analysis and public policy studies?

If all the above represent trends, have they peaked or will they continue to be on the rise?

15. Beyond economics, political science, and quantitative analytical tools, what do you regard to be the most important subjects for incorporation in an international affairs curriculum as electives if not as requirements? Foreign Area Study? Comparative Politics? History? Administration or Management? Diplomacy? Law? Science/Technology Policy? Conflict Resolution/Negotiation? U.S. Foreign Policy? National/International Security? International Organizations?

16. How about cultural relations and sensitivity to the qualities and differences of other cultures? In a world shrunk by rapid means of transportation and communication, does attention to cultural relations seem to you of more, or a lessening, importance in education for careers in international affairs? How is it best worked into the preparation of Masters-level graduates?

17. Foreign language competence: How important is its attainment? Who needs it? For what objectives? How can it best be cultivated in the context of professional education for international affairs? What particular steps is your school taking to encourage or advance it?

18. What specifically are you doing, or you think should be done, to foster productive interaction between teaching, research, and public affairs engagement? As regards faculty? As regards students?

19. To what extent does, or should, study and research in your School deliberately focus on major contemporary policy issues? And is there any effort to contribute thereby to the on-going public debate?

20. Conversely, how important is a sense of historical perspective for international affairs practitioners? What is, or should be, done to insure that your students either have or acquire it?

21. To what extent and in what ways do you see domestic politico-economic issues, structures, and processes to be relevant to international affairs education? How is consideration of them best incorporated in the curriculum?

22. How important to student development is practical experience either before or while enroute to the Masters degree? What means of acquiring it do you encourage?

23. Are there certain teaching methods or tools, especially well suited for international affairs education? If so what are they? Are there new methods, or other mixes, deserving greater attention? What changes do you envision?

PART E: (Cont'd.)

24. Are there particular library needs facing your School? If so, what are they? What computerized data systems does your library use? Are there forms of inter-institutional library cooperation that should be encouraged among the schools of international affairs?

25. Does international affairs research face special problems or needs beyond those of the social sciences? If so what are they and how are they to be met?

26. What do you see to be the hallmark of a professional education? To what extent are they features of education in your school? And are there criteria by which one could say that education in one PSIA is more "professional" than in another?

27. Apart from unrestricted support (which all institutions want and few donor agencies like to give) in what area or areas do you think foundation and corporation giving could be most appropriately and effectively applied at your School? E.g., what would be your priorities among financial aid, curriculum development, library development, project research funding? Or do you have more favored targets than any of those?

Mr. HOPE. Thank you, Mr. Chairman, members of the subcommittee, Mr. Payne.

We appreciate the opportunity to speak to you today on behalf of a program that has a demonstrated track record. It is a program that works. It has a track record of over 15 years, I would say, of practice. I would like to speak a little bit about this program.

I am Richard Hope, currently the vice president of the Woodrow Wilson Foundation and Director of their program in public policy and international affairs, which is designed to encourage minority student to enter careers in these fields. This program identifies 150 talented minority students each year and brings them into the educational pipeline starting at the junior year of college and supports them through the master's or the doctorate.

I am here today, as my colleague, Dr. Goheen has indicated, to ask the subcommittee to consider support of a program, which is designed to expand minority representation in domestic policy and international affairs. As we know, minorities are severely underrepresented in both the professorate, in positions of higher responsibility and international affairs.

The program, which we represent, promises to improve the pipeline of students entering studies leading to international affairs and public policy careers. It is a program, which offers great benefits to minority students and to the Nation's representation to the world.

The current program is administered by the Woodrow Wilson National Fellowship Foundation and supported by the Ford Foundation, the Rockefeller Foundation and the Reed Foundations. This is after, now, 10 years of development by the Sloan Foundation.

As presently configured, the program has three major components. They are: 1.) the junior year summer institute for college and university students, which are 6 to 8 weeks in length, and providing training in micro and macro economics, statistics, calculus, a wide range of communicative skills and public policy.

Secondly, a senior summer program for students who successfully completed the junior summer institutes, which provides a wide range of options, including summer language institutes. For example, at the Monterey School of Language, as well as the Johns Hopkins School for Advanced Studies. In addition, the senior year of summer provides internships for students in a variety of positions. In fact, we have quite a few here in Washington this summer and around the country.

Finally, and most importantly, graduate programs are supported for the first year by the Woodrow Wilson fellowship, and that in tandem with the graduate schools who have agreed to participate in our program for the second year.

We also provide two-year fellowships for students enrolled in the Ph.D. program, generally in economics and political science with specializations in international affairs. In addition to these current components, we recommend expanding the fellowship program to include community colleges and freshmen and sophomore years of four-year institutions. The extension of the community colleges would allow us to identify students at an earlier point in their academic years. We have been talking about the issue of the importance of the pipeline in graduate education.

The proposed extension of our program would help to increase the transfer rate of these students to four-year institutions, which would enlarge the pool of eligible students in these career fields. We anticipate making outreach to high schools as well through distinguished practitioners and scholars in public service areas who will serve as guest lecturers. They could serve as excellent role models, who will also serve later as mentors of these students entering college as they progress through graduate school.

Our program is one that works. It has an established track record or highly-trained minority students who are Woodrow Wilson fellows; now teaching in universities and working in many aspects of public policy and implementation in urban areas throughout the United States.

The Woodrow Wilson National Fellowship Foundation continues to network the new minority fellows with its illustrious list of Woodrow Wilson fellows who were supported for the doctoral degrees in the 1940s and 1950s. Many of these fellows are in leadership positions as presidents of universities, CEOs of corporations and political leaders at the Federal, state and local levels.

We, therefore, recommend that Congress support this program to insure: 1.) the uninterrupted resources of support necessary for the progression of minority students through the educational pathway for each year. And secondly, to increase the recruitment of minorities in international affairs careers.

In so doing, the program will have a significant impact on talented minorities entering these fields, which will ultimately have a positive effect on the relationship of the United States, and, in fact, the world.

Thank you, Mr. Chairman.

[The prepared statement of Richard O. Hope follows:]

Testimony of Richard O. Hope
to
The Subcommittee on Post Secondary Education
of the
U.S. House Committee on Education and Labor
in support of
A Program to Support and Enlarge the
Recruitment and Preparation of
Minority Students for Careers in
Public Policy and International Affairs

June 13, 1991

Mr. Chairman. Members of the Subcommittee...My name is Richard O. Hope. Currently I serve as Vice President of the Woodrow Wilson National Fellowship Foundation and Director of our program in public policy and international affairs which is designed to encourage minority students to enter careers in these fields. This program identifies 150 talented minority students each year and brings them into the educational pipeline starting at the junior year of college and supports them through the master's or doctorate degree.

I am here today, as Dr. Goheen has indicated, to ask the Subcommittee to support a program which is designed to expand the representation of minorities in public service for both domestic and international affairs. As we know, minorities are severely underrepresented at present in both the professoriate and in positions of higher responsibility in both domestic and international foreign service. The program which we represent promises to improve the "pipeline" of students who are entering studies leading to international affairs and public policy careers; it is a program which offers great benefits to minority students, and to the Nation's representations to the world.

The current program is administered by the Woodrow Wilson National Fellowship Foundation, and supported by The Ford, Rockefeller and Reed Foundations, after 10 years of development by the Sloan Foundation. As presently configured, the program has three major components. These are:

1. Junior-Year Summer Institutes for College and University Students, which are six to eight weeks in length, providing training in micro and macro economics, statistics, calculus, and a wide range of communications skills and policy issues.
2. Senior-Year Summer Programs, for students who successfully complete Junior-Year Summer Institutes, which provide a wide variety of options, including summer language institutes at the Monterey Institute and Johns Hopkins' School of Advanced Studies (SAIS); and internships across a broad spectrum of government and private agencies.
3. Graduate Programs, providing Foundation funding for first-year fellowship aid for master's degree studies in public policy and international affairs, with participating schools funding the second year of study. We also provide two-year fellowships for students enrolled in Ph.D. programs in economics and political science, with a specialization in public policy or international affairs.

In addition to these current components, we recommend extending the fellowship program to include community colleges and the freshman and sophomore years at four-year institutions. In doing so, we will increase career incentives through earlier exposure to opportunities and resources. This will, in turn, help to reduce the college drop-out rate for minorities, which is significantly higher than the rate for majority group members (for example, between 1964 and 1989, the college completion rate for African-American students dropped from 45 percent to 36 percent. Rates for other minority groups in urban areas show similar declines).

The extension to community colleges will allow us to identify students at an earlier point in their academic careers. It is significant because many minority students begin their academic work at these schools, which are frequently in or near their home communities. The proposed extension of our program will help to increase the transfer rate for these students to four-year institutions, which will enlarge the potential pool of eligible students for public service careers.

We anticipate making an outreach to high schools and secondary schools as well, through distinguished practitioners and scholars in the public service area, who will serve as guest speakers for high school programs. In doing so they will be excellent role models, and may also serve later as mentors as these students enter college and progress to graduate school.

Our program is one that works. It has an established track record of producing highly trained minorities who are Woodrow Wilson Fellows (or Sloan Fellows) now teaching in the universities, or working, in many aspects of policy development and implementation in our major urban centers throughout the United States. More than 2,000 minorities have participated over the last thirteen years of its history.

The Woodrow Wilson National Fellowship Foundation continues to network the new minority fellows with its illustrious list of Woodrow Wilson Fellows who were supported for the Doctoral degrees in the 40's & 50's. Many of these fellows are in leadership portions as presidents of universities, CEO's of corporations, and political leaders at the federal, state, and local governments in America.

We, therefore, recommend the Congress fund this program to ensure:

1. Uninterrupted sources of support necessary for the progression of minority students through the educational pathway each year.

2. Increased recruitment of minorities choose careers in international affairs and public policy.

By doing so, the program will have a significant impact on talented minorities entering these important fields which will ultimately have a positive effect on the relations of the U.S. around the world. If time permits, Dr. Goheen and I will be happy to discuss the costs of this program.

Mr. **Andrews**. Thank you very much, Dr. Hope.

Our final witness is Denise Purdie. Ms. Purdie is Executive Director of the Council on Legal Education Opportunity, located here in Washington.

Ms. Purdie, welcome.

STATEMENT OF DENISE W. PURDIE, ESQUIRE, EXECUTIVE DIRECTOR OF THE COUNCIL ON LEGAL EDUCATION OPPORTUNITY, WASHINGTON, DC

Ms. **Purdie**. Good afternoon, Mr. Chairman, Mr. Payne.

My name is Denise Purdie and I address you today in my capacity as the Executive Director of the Council on Legal Education Opportunity known to everyone as CLEO. The CLEO program was formed in 1968 by the Association of American Law Schools, the American Bar Association, the National Bar Association and the Law School Admission Council; in 1972, the Hispanic National Bar became a sponsoring organization. In 1990, the National Association for Asian Pacific Americans became a sponsoring organization as well.

CLEO was designed to serve educationally and economically disadvantaged student who, but for a program like CLEO, would have little chance to attend an ABA-approved law school due to economic and admission credential limitations. CLEO is unique in that it is the only Federal program that provides access to legal education for disadvantaged students and assists them in gaining admission to the Nation's law schools.

It has been suggested by the current administration that other fellowship programs, such as the Jacob Javits fellowship, the Graduate Assistance in Areas of National Need, Foreign Language and Area Studies, and the Patricia Roberts Harris fellowship are sufficient to provide fellowship opportunities for students interested in pursuing a career in law. These programs, however, are merit-based and would exclude on that basis the students that CLEO serves. Further, it has been suggested that the CLEO program will duplicate the fellowship opportunities to be provided by the proposed Ronald McNair fellowship program.

In light of the fact that the McNair program is a new program that would require establishment of relationships with all of the Nation's law schools to effectively assist students in gaining admission to those law schools, the viability of that program in the law school arena is questionable. While many of the Nation's law schools have established summer orientation programs for minority students, modelled upon the CLEO Summer Institutes, these programs are primarily designed for student already admitted to those law schools. Accordingly, the law schools do not serve high-risk, disadvantaged students who may not have yet gained admission to a law school. In contrast, CLEO serves those with less than standard predictors (LSAT, GPA) who, through their performance in the CLEO Summer Institutes, show the motivation and potential to succeed in law school.

The program also provides a significant fellowship for living expenses, and counseling both prior to and during law school. Repeal of the legislation authorizing this program, as recommended by the

Department of Education, which shut the door in the face of those students who need the assistance most.

The CLEO component has two—excuse me—the CLEO program has two components of direct service to students, which are the Regional Summer Institutes for prospective law students and living stipends, this year, in the amount of $3,750 each for 3 years of law school.

This summer, the seven CLEO Summer Institutes are being hosted by the following law schools: Georgetown University Law Center; Dickenson School of Law; the University of Missouri-Columbia School of Law; Capitol University School of Law; Santa Clara University School of Law; the University of Mississippi College of Law; and the University of Arizona College of Law.

The Regional Summer Institutes were designed to provide training and evaluation for minority and disadvantaged students who demonstrated their potential for success in law school in spite of their lack of traditional admissions criteria.

As educators are generally aware, there exists a direct correlation between low scores on standardized tests, such as the LSAT, and low socioeconomic status. CLEO serves students who are generally from low socioeconomic backgrounds. The typical CLEO participant comes from a background of cyclical poverty and is a first-generation graduate student, whose college grades may indicate initial difficulty in adjusting to the rigors of college-level studies, indicated by an upward trend in GPA between the freshman and senior year.

A large number of CLEO student have also, because of their disadvantaged background, attended undergraduate colleges that are less demanding academically than the more prestigious institutions that furnish candidates for law school.

The 23-year history of success of the CLEO program is without question. Since 1968, it has assisted over 5,000 individuals in graduating from law school by providing them with preparation and a fellowship. Many CLEO fellows have entered the public sector. Some have become law professors, law school deans and judges. Some have entered into private practice. The commonality of the success of these individuals is that the Nation's law schools relied upon CLEO's recommendations and were willing to take a chance in granting them admission to a law school.

The need for an expanded CLEO program to serve the interests of its student participants and law schools alike is immediate. In 1991, CLEO received 2,500 applications for its 210 seats available for this summer's program.

The current authorized funding level of $2.928 million severely limits the number of students served, as there are at least 400 more candidates fully qualified for academic assistance. However, please keep in mind that the mere provision of financial aid to disadvantaged law students is not sufficient to ameliorate the underrepresentation of disadvantaged, low-income individuals in the legal profession.

Without the academic training received during the summer prior to law school, many CLEO participants would not otherwise gain admission to law school. The thrust of the CLEO program in 1968 was to remedy the under-preparedness of disadvantaged students to enable them to cope with the rigors of law school, graduate and pass the bar exam. Without this two-prong program design that has a proven track record of success, the Assistance for Training in the Legal Profession funding is rendered meaningless.

The provision of the Regional Summer Institutes and the living expenses stipend has created a dream come true for over 5,000 low-income individuals. In an era of diminishing commitment to education and a trend toward funding science and engineering, we ask that the service professions of this society not be forgotten. It is not a coincidence that the great majority of CLEO Fellows now serve their community of origin in many ways, and CLEO continue to be the sole vehicle for entrance into the legal profession for many disadvantaged students.

Unfortunately, despite the demonstrated record of success of this program, this year the Department of Education has engaged in a systematic course of conduct under the guise of program supervision, designed to accomplish what they have ultimately recommended to you: the elimination of this program. Open competition, as attempted by the Department of Education, for the funding appropriated under this part is not the most effective method of accomplishing the goals you articulate in this Act. I submit to you eight reasons to retain this program:

First, CLEO was created through a consortium venture of the general legal community.

Second, CLEO is the most cost-effective way to achieve the goals that you expressed in the enactment of this legislation.

Third, CLEO has established long relations with the legal education community.

Fourth, a competitive process currently exists within the CLEO programmatic structure.

Fifth, CLEO has excellent relations with the Nation's law schools.

Sixth, the CLEO program provides a model for academic excellence.

Seventh, CLEO provides a supportive educational environment for all of its participants.

And eighth, CLEO has a demonstrated track record of success in preparing students for law school as evidenced by graduate and bar passage rates.

The Department of Education has already prejudged what Congress will do by prohibiting the expenditure of any 1991 funds toward the recruitment of students in preparation for next year's program in anticipation that no program for next year will exist.

By reauthorizing this program and incorporating the recommended language into the Act, you will make clear your intent to support the CLEO program. Due to the great economic need, as well as the decrease in other Federal financial aid available to law students, CLEO respectfully requests reauthorization of this program.

I thank you very much for your time and your patience in listening to me.

[The prepared statement of Denise W. Purdie follows:]

STATEMENT

of

DENISE W. PURDIE, ESQ.
EXECUTIVE DIRECTOR

on behalf of the

COUNCIL ON LEGAL EDUCATION OPPORTUNITY

before the

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

of the

EDUCATION AND LABOR COMMITTEE

of the

UNITED STATES HOUSE OF REPRESENTATIVES

pertaining to the

REAUTHORIZATION OF THE

ASSISTANCE FOR TRAINING IN THE LEGAL PROFESSION

TITLE IX, GRADUATE PROGRAMS, PART E

FELLOWSHIPS FOR OTHER PURPOSES

of the

HIGHER EDUCATION ACT OF 1965, AS AMENDED

JUNE 13, 1991

CLEO BACKGROUND

CLEO was formed in 1968 as a joint project of the Association of American Law Schools, the American Bar Association, the National Bar Association and the Law School Admission Council; in 1972, the Hispanic National Bar Association became a sponsoring organization, and in 1990, the National Asian Pacific American Bar Association became a sponsoring organization as well. CLEO's program has been designed specifically to serve those educationally and economically disadvantaged persons who, but for a program such as CLEO, would have little chance to attend an accredited law school because of economic and admission credential limitations. The concerns of 1968 were concrete: less than 1% of the lawyers in this country were Black and in some states there were more than 30,000 Black residents for each Black lawyer. Many people realized then that riots and other troubles in our society would not be solved until all segments of the populace had ready access to the means of peaceful dispute resolution through the legal system, and representation in substantial numbers within the legal profession. While the concerns of the 1990s are not readily visible, CLEO continues as the sole vehicle for entrance into the legal profession for many disadvantaged students. Repeal of the legislation authorizing this program, as recommended by the U.S. Department of Education, would shut the door in the face of those students who need assistance the most.

The present CLEO program has two central components of direct service to students in addition to its services to the law schools.

The two primary student components are Regional Summer Institutes for prospective law students, and annual fellowships (living expenses stipends) of $3,750 each to the successful graduates of the Summer Institutes who attend law school. The law schools individually absorb more than half the costs of hosting the Summer Institutes, and provide tuition scholarships, as well as financial aid to CLEO Fellows. It is extremely important to realize that all appropriation requests of federal support for this program are matched in cash and services for the Summer Institutes from the law schools, at a time when legal education is in a difficult fiscal situation. Over 145 ABA-approved law schools currently enroll CLEO Fellows.

The CLEO Regional Summer Institutes were originally designed to operate largely as a screening process for minority and disadvantaged students who would not otherwise be admitted to law school, focusing on students who had the potential for successful entry into the legal profession despite their lack of traditional admissions criteria. This focus has changed slightly and is changing further as we learn more about the educational process generally, and legal education in particular. A bit of history is the most efficient means of explaining how this change has occurred.

Prior to the post-World War II education boom, the traditional approach to law school admissions was to enroll nearly all students who could pay the tuition (except at those institutions that were admittedly discriminatory) and weed out the non-lawyers on the basis of law school performance, particularly at the end of the first year of law study. In that era, admission to the profession was determined almost solely by performance in law school, subject to limited further evaluation by bar examinations. The vastly increased number of law school applicants in the post-war era gave rise to the Law School Admission Test (LSAT), which was first administered in 1948, was in widespread use in the mid-1950s, and in almost national use by 1960. In the 1960s it became a dominant factor in the admission process for most law schools. As the schools sought to increase their minority enrollments, it became apparent that the LSAT was standing as an obstacle to this endeavor and the legal education community sought an alternative admissions device. The Summer Institutes of CLEO were conceived to perform this service.

It seemed feasible for CLEO to revitalize the concept of performance as a means of determining legal aptitude, at least with regard to minority and economically disadvantaged applicants. The Summer Institutes offered six-week courses in substantive law along with legal research and legal writing. Initially, they were largely experimental and varied in program format. Some were primarily remedial, some attempted only to identify students who showed promise of succeeding in law school, and others aimed at orienting students to the study of law. While the Institutes still reflect a combination of these elements, their format and primary aim has solidified. In general, greater emphasis is placed on orientation of the students to law school methodology and on evaluation of the law aptitude and potential of the student, while remedial aspects are minimized. The National Office of CLEO, by its evaluation of the successes and failures of different approaches, gives critical educational advice to the directors and faculty of the Regional Institutes, assuring that the Institutes provide the best possible experience for the students.

The second component of the current CLEO program is the provision of fellowships to the students who continue on from the Summer Institutes to law school. These fellowships are provided under Title IX of the Higher Education Act of 1965, as Amended, and are currently set at $3,750 per year. These fellowships are to be used exclusively for living expenses. Each law school admitting a CLEO student makes a commitment to provide tuition, sometimes in the form of a tuition rebate, sometimes through the use of otherwise available scholarship funds, and more frequently through the use of federal student loans. Since tuition is now at extremely high levels (a number of private law schools will be charging over $16,000 in tuition this year), this represents a substantial additional investment by the law schools.

The typical CLEO participant comes from a background of cyclical poverty and is a first generation college graduate. These students are able to borrow at best only limited additional funds for their law school education. Therefore, the law schools, realizing that the $3,750 is not adequate to pay all living expenses, often make additional scholarship aid available to CLEO students.

In addition to the Summer Institutes and fellowships administered by CLEO, the National Office prepares course materials, has operated an Application-Sharing Project by which promising but unsuccessful candidates are referred to other law schools, serves as a catalyst for innovative projects in admissions, cooperates and shares information with special admission programs operated by individual law schools, provides intensive counseling to current and prospective law students in regard to the admissions process, and generally serves as a repository of data and information about legal education and the disadvantaged.

The CLEO program has also published, in conjunction with Ocean Publications, Inc., two major hard-bound works of particular interest to legal educators and scholars. The first publication, *DeFunis v. Odegaard and the University of Washington*, is a three-volume set containing the complete records and briefs of the case; the second, *Bakke v. Regents of the University of California*, is a six-volume set similar to the *DeFunis* work. CLEO also published, in cooperation with Howard University School of Law, a special edition law review containing selected papers from a two-day symposium which commemorated CLEO's Tenth Anniversary. Finally, CLEO authored chapters in the publication *Towards a Diversified Legal Education*, published by the National Conference of Black Lawyers.

THE CONCEPT OF DISADVANTAGED

CLEO recognizes that the concept of economic and educational disadvantage in the face of a baccalaureate degree is not married to the concept of race. "Traditional" admissions criteria have had the effect of excluding many disadvantaged persons from law school regardless of race. Frequently, the CLEO is one who, by reason of cyclical poverty and attendant educational deficiency, may have experienced initial difficulty in adjusting academically to the college environment. His or her cumulative grade point average, however, may reflect an upward trend characterized by marked improvement during the third and fourth years of undergraduate college. A large number of CLEO students have also, because of their disadvantaged background, attended undergraduate colleges that are less demanding academically than the more prestigious institutions that furnish candidates for law school. When these factors are produced by membership in an isolated group, whether minority or White, in ethnic terms, the student fits the concept of disadvantaged.

In response to its own thought processes and the needs of society, CLEO broadened its concerns several years ago to encompass disadvantaged White students. One readily identifiable target population of disadvantaged White students from which CLEO draws can be found in Appalachia. Yet, it comes as no surprise that the ratio of minority students in the CLEO program remains overwhelmingly high.

Of course, CLEO is mindful of the uncertainty that the U.S.

Supreme Court's opinion in Bakke v. Regents of the University of California had engendered among the administrators of law schools, as well as federal and state legislators. CLEO's program operation and admission process has been fully reviewed by the Office of General Counsel in light of the Court's opinions in Bakke. It was determined that, in its most narrow view, Bakke appears to have no direct impact on the academic or administrative operation of CLEO. Because CLEO utilizes economic factors initially in determining program eligibility, and then race or ethnicity as only one variable within a unitary admissions process of final participant selection, the CLEO program appears to be squarely within the Court's permissible structural parameters.

The argument is often heard that no person with a baccalaureate degree can be considered disadvantaged, since he or she has an advantage over a large portion of the population. What should be remembered, however, is that this same person can be disadvantaged with respect to other college graduates attempting to enter the legal profession. The patterns that have in the past kept disadvantaged groups seriously underrepresented in the socially and economically powerful institutions of society and prevented their ready access to the mechanisms for peaceful dispute resolution through the legal system will continue as part of the cyclical poverty to which this program is addressed. This is the concept of disadvantaged with which CLEO is now working, a concept that recognizes the potential of disadvantage of both Whites and minority groups.

CLEO PERFORMANCE DATA

Thus far, the overwhelming majority of Summer Institute participants have met the challenge presented by CLEO and have complied an impressive record of achievement. Indeed, the available CLEO performance data is encouraging, with respect to law school, bar and employment performance. However, it should be noted that, while data on the three-year law school performance of CLEO Fellows is readily available from the law schools via academic monitoring and reporting requirements of the Program, additional data on post-law school bar and employment performance has been difficult to obtain. This has resulted primarily from a failure of CLEO Fellows to remain in contact with the National Office and is further compounded by the typically transient nature of the law school graduate seeking employment.

INCREASED NEED FOR CLEO PROGRAM SERVICES

The need for an expanded CLEO program to serve the interests of it student participants and law schools alike is immediate. CLEO now annually reviews over 2,500 applications for the 210 available seats in the program. Although the current authorized funding level of $2,468,000 severely limits the number of students served, there are at least an additional four-hundred (400) candidates fully qualified for academic assistance under the present CLEO admissions policy. Because many law schools are relying more heavily upon CLEO certification, in light of the Bakke decision, for admission of their disadvantaged student applicants, the inability of the CLEO program to expand the number of students served may result in a significant drop in the overall number of minority and other economically disadvantaged students admitted to law schools. Current law school enrollment data may help in outlining the scope of the problem.

While total minority student enrollment in ABA-approved law schools has increased dramatically during the twenty-three years of CLEO's operation, from 2,933 in 1969 to the present 17,330 students[1], overall enrollment over the same period has also kept pace, from 59,498 in 1968 to the present 127,261. The increase in minority group student enrollment in law schools is attributable, certainly, to the efforts of individual law schools and the organized bar alike in broadening the opportunity for law study. This increase was also brought about, however, by the catalytic effect of CLEO's success in bringing into the process students with lesser numerical predictors, but with no less true performance potential. It should also be noted that the large increase in minority enrollment in the law schools is partly attributable to the dramatic increases in Asian or Pacific Islander and Other Hispano American student enrollment, while the enrollment of Black, Mexican American, Puerto Rican, and American Indian students has stabilized at 8.2% of total law school enrollment.[2]

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[1] A Review of Legal Education in the United States, Fall 1990, Law Schools and Bar Admission Requirements, American Bar Association, Section of Legal Education and Admissions to the Bar, (1991) page 68.

[2] Ibid., page 66.

The impact of the Bakke decision on educationally and economically disadvantaged student enrollment is difficult to determine. Some law schools have revamped their admission policy in compliance with Justice Powell's opinion and in the process, have returned to a greater reliance on numerical predictors to determine student selection. At the same time, several of these schools have taken cognizance of CLEO as an alternate admissions variable and require CLEO certification for selected students. While this process may help to achieve diversity within the student body, which is essential to a full and meaningful legal education for all students, an over-reliance on CLEO (given the 210 students served annually) may also exclude students who may be able to achieve beyond the indications of conventional predictors.

An expansion of the number of students served through CLEO should assist in stabilizing adverse impact from adjustment to Bakke, while simultaneously allowing schools to maintain a diverse student body by one of several constitutionally permissible means.

CLEO STIPEND ASSISTANCE

Unquestionably, the value of the $3,750 living expenses fellowship has been affected negatively by the recessionary cycle affecting the country at large.

With respect to loan program, the CLEO student typically is already heavily in debt and is not in a position to borrow for all of his/her law school needs. For most CLEO students, the $3,750 stipend plus the corollary tuition scholarships and loans provided by the law schools mean the difference between attending or not attending law school. In the final analysis, therefore, there is an acute need for increased CLEO stipend assistance merely to maintain the original thrust of the program.

The federal government has made a major commitment in the last decade to the cause of increasing educational opportunity for the poor and disadvantaged groups within our society. This is an important commitment not only in terms of fairness, but also in terms of wise allocation of resources. The legal profession is one of the most direct means by which these groups can be fully incorporated into the frame work of this society and participate in its advantages and benefits. Recognizing that there are current demands on the federal purse that call for fiscal integrity, we nevertheless believe that the very small amount of money required for CLEO can bestow huge dividends for the future.

Mr. Andrews. We thank you for your time and patience, and for the testimony of all those on the panel. It was excellent.

Congressman Payne and I are not surprised that there are great ideas emanating from New Jersey from our representatives here from Princeton today.

I just have one brief question, and then I am going to turn to my colleague, Mr. Payne, and ask him to conclude the hearing in the Chair. We heard testimony earlier this morning from the Department of Education, indicating that it would like to take the Title IX, by and large, and consolidate them; and vest in the Secretary discretion to identify which fields of study will be the recipient fields of study; vesting the Secretary with discretion as the allocation of those funds within those fields.

I hear at least two problems being raised with that. One is within the field of International Affairs. It is the fact that this is an area, which may not receive its just due. Given the present paucity of students in that area, it would seem to be a major concern. The second is a much more specific one about the law school programs. I say as a law school graduate who had an opportunity to participate in a clinic experience, that I think it was invaluable not only as a teaching tool to learn how to be a good lawyer—some of my clients may disagree whether that sunk in.

The second is that in a profession where there are lots of incentives and subtle pressures to go to Wall Street or to go to a large corporate firm and make a lot of money, the one countervailing experience in law school that said perhaps there is a fulfilling career one can have representing the indigent and the underprivileged and the disadvantaged tended to be that clinic experience where one could see another kind of life for an attorney.

My question for each of our four witnesses is whether or not you or your organizations would be supportive of a program which would vest the Secretary with discretion in determining which fields of study would be available for graduate study?

We begin with the Ambassador.

Mr. Goheen. Yes, Mr. Chairman. I feel very strongly about this. I must say I have a vested interest. I am a humanist by training. I run the largest private graduate fellowship program in the humanities that exists today, and I am reminded of the fact that the Javits program never came up for recommendation of funding from the Reagan Administration. It was this Committee that kept him alive. It is a tremendously important program. So I would much prefer to rest on the judgment of the Committee, rather than of the Secretary.

Mr. Andrews. Thank you. I would also point out that this kind of exchange can take place in an authorization. It will not necessarily take place in an internal administrative decision-making process. Dr. Hope.

Mr. Hope. I feel also that the kind of discretion that is being proposed here would be simply very difficult to do. It seems to me that there is a need for a much broader range of support in our area, particularly in the minority concerns. I don't see that happening. I don't see that level of sensitivity, shall we say? It seems to be it would make a rather difficult situation even worse with that proposal.

Mr. **Andrews**. I appreciate that. Ms. Purdie.

Ms. **Purdie**. Clearly, that kind of discretion would not be in the interest of my program. I think that, as someone who is new to interacting with the administration on issues where discretion is allowed, my experience over the last 9 months has been that I would prefer to see this body determine who was supposed to be the beneficiary of the funds that had been allocated. There has been no indication to me that that discretion would be exercised in a way that adequately polled the true needs of the education community.

Mr. **Andrews**. Valor is the better part of discretion. Okay. Ms. Levin.

Ms. **Levin**. Yes. Both the law school clinical program and the CLEO program, the Assistance for Training in the Legal Profession Program are not really fellowship programs. They are quite different. So to consolidate them and to treat them as if they were just another way of getting students funds who would otherwise have the credentials to attend graduate and professional education, but just do not have the support, it is mixing apples and oranges. You just can't mix those different programs, so that I don't think by giving the Secretary discretion—and we have had two secretaries in 2 years, or less than 2 years—that you would have the stability or the priorities that this Committee and Congress as a whole has set.

Mr. **Andrews**. I thank you very much. I would yield to my more senior and wiser colleague.

Mr. **Hayes**. Thank you very much. A sophomore taking over from a freshman, so you don't have too much up here. I would like to commend the gentleman from New Jersey for the leadership that he has taken with his short time here in the U.S. Congress. We are very pleased. We know that he had a tremendous amount of experience in local government and brings that local sensitivity to the Federal Government. I think that bodes well for our delegation in New Jersey and for your career in Congress. I would like to commend you for your conduct.

You know, we up in North Jersey sort of look down to South Jersey with a little trepidation, but now that we have a governor from South Jersey, the state is in good shape.

Mr. **Andrews**. The South shall rise again.

Mr. **Hayes**. I certainly will not delay the hearing much longer. I would like to certainly commend the witnesses for your patience. Our hearings do go long. They become fairly thorough, as you can see, but they are very important with the reauthorization of the Higher Education Act.

I would certainly like to say, Mr. Ambassador, as a youngster during the time that you were president at Princeton University, your reputation certainly precedes you before coming here today. It is a pleasure for me to have the opportunity to hear you in person.

We have a number of people from your program. I remember Dr. Liverstack who was running the Woodrow Wilson Program, I believe, or Eagleton Institute, I know one of the two. And Bob Curven, who is a chap I grew up with in the Newark who came out of the Princeton experience and the program. And Richard Roper, who was also another Newark person. We are very proud of all of them. I really commend your program.

We have been involved, actually—years ago, I was involved in YMCA work, and still continue on. About 10 years ago, we started a YMCA model of the United Nations program, where we were able to take Newark youngsters and expose them to a regional meeting of the middle Atlantic states of a high school program where they involved themselves in world problems and took on the various countries, and had a role model, role-played the situation with those countries as related to international problems.

From that program, we were able to get several young people from Newark interested in foreign affairs, and have gone on to careers in foreign affairs. We would be very interested because we are going to reinstitute the program in conjunction with the close-up program, which is a program for high school kids who are highly motivated in the area to get more involved in international affairs again.

I think that the U.S. has a resource because we have such a multiethnic population. With the majority of the world's countries being nonwhite countries, I think that it would do well for us to tap into the resources that we do have that many other western countries do not have. So we will be on a high school level attempting to get young people interested in programs like the one that you have talked about, which certainly will be helpful as a continuum.

I am glad to hear you talk about the community colleges, because, as you know, Dr. Yambud, Essex County Community College, is doing an outstanding job of turning that college around. We would probably like to talk to him about getting more involved in the program.

So it is good to see both you, Ambassador, and Mr. Hope.

Just sort of as it relates to community law clinics, we at Rutgers had a very outstanding—we called it CLAW. They were serious, too. They would chew up the wrong and the bad people. When I was in local government on the county level and the city level, we worked very closely with that organization. I feel they certainly have a tremendous amount to offer when we are indeed supportive.

Finally, Ms. Purdie, we certainly would like to work more closely with you to ensure that the CLEO program is not done away with. This administration does not have discretion. They ought to call it indiscretion, because it seems like everything they do is wrong. When it comes to education and when it comes to programs that will actually ensure that those who are shut out—I mean it is clear that minority students have done much better once they have entered an institution, became acclimated, had some remedial and mentoring, once they are able to get into the flow, they have been able to achieve very well.

If we did everything on competitive scores, then we would find that, just as there is talk of a national test to find out where we are as a country, we could save that money. —because I could tell them where the highest scores are going to come out. The school districts around Princeton University, the ones up in Short Hills in my neck of the woods. The wealthy communities will indeed have the highest scores in the inner cities and Appalachia and the rural parts would have the lower scores.

We don't have to go through a national testing costly system to—I could tell them that, and let's roll the money into making rural and urban schools better rather than waste money on a national test, because we could almost anticipate what the conclusion is going to be.

But I think that we certainly need to give opportunities to minority and rural people, foreign-born. I think that the CLEO program—I have heard about it for many years. Indeed, many of my friends, who are successful attorneys and in the legal profession, have actually done very well because of it. So we will be fighting to keep that program afloat.

Mr. **ROEMER**. Once again, I certainly would like to thank all of you for your very valuable testimony. We look forward to continue working with all of you. Thank you very much.

At this time, I declare the meeting adjourned.

[Whereupon, at 1:55 p.m., the hearing was adjourned, subject to the call of the Chair.]

[Additional material submitted for the record follows.]

GEORGETOWN UNIVERSITY LAW CENTER

for [illegible]

STATEMENT OF

DEAN JUDITH C. AREEN
GEORGETOWN LAW CENTER

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION
COMMITTEE ON EDUCATION AND LABOR

OF THE

UNITED STATES HOUSE OF REPRESENTATIVES

CONCERNING

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

JUNE 13, 1991

June 12, 1991

STATEMENT OF DEAN JUDITH AREEN IN SUPPORT OF REAUTHORIZATION OF TITLES IV AND IX OF THE HIGHER EDUCATION ACT OF 1965, AS AMENDED

I am Judith Areen, Executive Vice President of Georgetown University and Dean of the Law Center, 600 New Jersey Avenue, N.W., Washington, D.C. 20001. This statement is submitted in response to your request for information from schools that have benefitted from the educational programs sponsored by Titles IV and IX of the Higher Education Act of 1965, as amended. I appreciate the opportunity to comment on these programs because they have had a significant positive impact on our students and, we believe, on society at large.

The Clinical Education portion of Title IX has been particularly important to legal education and to the nation. Clinical programs play a key role in preparing students for the practice of law and typically provide legal services to disadvantaged members of our society at the same time.

Georgetown University Law Center (GULC) has received Title IX grants on two occasions. Our experience with both illustrates the value of the program.

One purpose of the program is to help schools to develop new clinical programs. Georgetown now operates the largest in-house clinical program in America, with over two hundred faculty, graduate students, and law students representing indigent citizens of the District of Columbia in ten different programs. This was not always so. Early in the history of our program, we saw the need to expand the work of our gender discrimination clinic to provide assistance to victims of spousal abuse. Each new clinic program is an experiment. It is difficult to designate tuition dollars for experimental programs. Our request for Title IX funds to attempt this experiment was granted. Now, almost ten years later, that clinic is not only a successful educational program, but is soon to be the major provider of legal assistance to victims of spouse abuse in the District of Columbia.

Title IX clinical education funding also enables schools to expand existing programs. GULC now funds the majority of its clinical programs from tuition dollars. Clinical education, although it is firmly a part of our curriculum, must compete for funds, therefore, with other educational needs within the law school. We cannot simply raise tuition to meet all of those needs. Currently, GULC spends over $2 million annually on clinical education, but we still cannot meet all of the student demand for clinical education courses nor the demand for service from the community. Schools like GULC need Title IX not to create new clinical programs, but to continue to expand existing programs. This year, faced with a demand from state legislatures nationwide for additional assistance, we applied to the Department of Education for funds to expand our state legislation clinic. Recognizing GULC's commitment to clinical education the Department of Education awarded us a grant.

The immediate benefits of Title IX are clear. The secondary and unseen benefits of Title IX are the ways our graduates enrich the quality of justice in their home communities. Indeed, a substantial number of our graduates who participated in a clinical program continue to set aside a part of their working lives to better their community. We believe that Title IX is a major cause of that commitment in law schools and in communities all over the country.

Title IX also provides funds for the operation of the educational programs sponsored by the Council of Legal Education Opportunity (CLEO). Georgetown has been a supporter of and participant in the CLEO program from its inception. We have periodically served as a training site for the program and are doing so again this summer. We always have a number of CLEO graduates in our student body. There are a total of 10 at the present time, and we have had as many as 19 in the past. CLEO remains an extremely important and highly effective program. It increases the pool of qualified students from educationally disadvantaged groups and, over the two decades of its existence, it has contributed significantly to diversification in the legal profession. The need for CLEO has not ended and we at Georgetown strongly support its reauthorization.

The Title IV programs, specifically, the Stafford, SLS and Perkins Loans, provide the basis of financial support for our financially needy students. The College Work Study Program, although smaller in scope, is nonetheless a critical component for those participating in the work opportunities the program creates. Title IV programs supplement students' resources and Georgetown's aid, enabling our students to obtain the financing they need to attend law school.

Although Georgetown Law Center has committed a substantial portion of its budget to financial aid we are nonetheless unable to meet all of our student demand for financial aid. During the 1991 fiscal year, we devoted more than $3 million of our funds to financial aid.

During that same year, approximately 1,600 Georgetown Law Center students borrowed another $14,750,000 from the Stafford and SLS loan programs. This was supplemented by $900,000 from the Perkins Loan program, which provided aid to some 385 students. The College Work Study program offered employment to 160 students, who earned wages of $250,000.

Without these federal funds, many needy students would be unable to attend law school. The result would be a return to an economically homogeneous student body at Georgetown and at other law schools, because only those who could afford to pay the education costs out of pocket would be able to attend. If this occurred, our long record of improving access to legal education for students of all backgrounds would falter. The legal profession and the judiciary would become even less able to represent the interests and needs of our increasingly diverse nation.

Georgetown University Law Center strongly supports continuation of and renewed funding for the programs sponsored by Titles IV and IX of the Higher Education Act of 1965, as amended. I appreciate the opportunity to comment on these important programs and would be happy to provide additional information or assist you in any other areas related to the reauthorization of the Act.

THE AMERICAN UNIVERSITY
WASHINGTON DC

STATEMENT OF

ELLIOTT S. MILSTEIN, DEAN
AMERICAN UNIVERSITY,
WASHINGTON COLLEGE OF LAW

BEFORE THE

SUBCOMMITTEE ON POSTSECONDARY EDUCATION
COMMITTEE ON EDUCATION AND LABOR

OF THE

UNITED STATES HOUSE OF REPRESENTATIVES

CONCERNING

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

JUNE 13, 1991

Washington College of Law
Office of the Dean

4400 Massachusetts Avenue, N.W., Washington, D.C. 20016-8084 (202) 885-2605

STATEMENT OF DEAN ELLIOTT S. MILSTEIN IN SUPPORT OF REAUTHORIZATION OF TITLE IX

I am Elliott S. Milstein, the Dean of American University, Washington College of Law, 4400 Massachusetts Avenue, N.W., Washington, D.C. 20016. We have received grants from the Clinical Legal Experience Program in nearly every year since its inception. Because I believe that the benefits obtained by the use of this money in our school typifies what has occurred throughout the country, I will describe them to illustrate the important effect this program has had on the improvement of the system by which the United States educates lawyers.

Our law school currently offers six different in-house client-contact clinical programs, serving approximately 75 students. Four of those programs were started and a fifth was substantially improved with grants from the Title IX program. In each case, except for the program for which we are currently receiving federal funds, the law school continued the program with its own funds after an initial period of receiving federal funds.

An in-house client-contact clinical program is one in which students represent real clients in real legal matters in the context of a law school operated law office, supervised and taught by faculty members. Because the faculty-student ratio in such programs is necessarily small, usually no more than 1:8, and because such programs have the additional costs incidental to running a law office, clinical legal education is substantially more expensive than the traditional forms of legal education. However, because the direct benefits to students (and to the indigent clients whom they represent) are so manifest, we have endeavored to find ways to increase the availability of clinical education at our school.

Although it has not always been so, it is now nearly universally accepted among legal educators that clinical education plays a critically important role in completing the legal education we offer our students. Increasingly large numbers of employers, including government agencies, large law firms, legal services organizations both civil and crimnal, prosecutor offices and solo practitioners, prefer to hire students who have benefitted from clinical education. Every national study of the role of law schools in producing more competent and more ethical practitioners has identified the expansion of clinical programs as essential. Nevertheless, the high cost of these programs has prevented nearly every law school from making such a program universally available to its students. At our school twice as many students want to enroll in a clinic than there are spaces.

Even so, we like to think of our clinical program as a laboratory enabling the law school to examine the practice of law. That research at our law school and throughout the country has led to a range of curricular reforms that have benefitted our entire educational program and also has permitted clinical teachers to offer ideas to the legal profession to improve the practice of law in the same way that professors of medicine have traditionally done for medical practitioners. Thus, in addition to the direct benefits to the students enrolled in clinical programs, there are indirect benefits to all of our students and to the profession at large.

In order to illustrate the kinds of educational programs Title IX has produced and continues to support, I will describe the programs at our school. In all of the programs students are assigned and given full responsibility for their own clients. They meet individually and in teams with a faculty member on an intense basis throughout the life of the case. Cases are chosen for their educational value and case loads are kept quite small. The intensity of the supervision ensures the competence of the representation and also permits the supervisor to teach about a range of issues that derive from but transcend the individual case. Because we believe that this first professional experience is quite formative and basic professional values begin to be shaped, issues relating to professional responsibility and the lawyer-client relationship predominate in the supervision. Of course, many other topics are dealt with as well but none are as important as teaching students appropriate ethical guidance at this critical time in their development.

Each of the programs also features a weekly seminar which concentrates on the development of the lawyering process and a law firm meeting which enables students to share their experiences on cases and to learn from each other. The lawyering process curriculum includes interviewing, counseling, strategic planning, developing case theories, fact investigation, negotiation, oral and written advocacy, and trial skills such as closing arguments and direct and cross examination.

The **Criminal Justice Clinic** involves students in both sides of the criminal justice system. In one semester students defend criminal cases and in the other they prosecute. Title IX funds were used to improve the teaching on the prosecution side of the program and enabled us to hire an experienced prosecutor to join the teaching team and to create teaching materials to accompany that experience. This program is now fully funded by the law school. Graduates of the programs have become prosecutors and public defenders, as well as private practitioners, throughout the country. A number of large district attorney offices actively recruit the graduates of our program.

The **Public Interest Law Clinic**, which was created through the support of a Title IX grant, has students representing veterans, mostly in disability cases, before the Board of Veterans Appeals. Faculty and students from our program were, until recently, among the few lawyers appearing for veterans in such cases. Our clinic has done, among other things, pioneering work involving Post Traumatic Stress Disorder in Vietnam veterans. This program, too, is now fully funded by the law school.

Our **Women and the Law Clinic,** also once supported by Title IX and now by the law school, involves students in the representation of women in spouse abuse, support, and child neglect cases in the D.C. Superior Court. In addition to providing top quality representation to its clients, the students and faculty involved in the program have assisted in improving practice and procedure in family court. Students in this program not only learn how to handle these difficult cases but also examine the role of women in the legal system.

The Appellate Advocacy Clinic enables students to brief and argue cases before the U.S. Courts of Appeals for the Fourth and the D.C. Circuits and before the Maryland Court of

Special Appeals and the D.C. Court of Appeals. The judges of those courts continue to compliment our faculty for the consistently high quality of the students' oral and written advocacy. As in all of our clinics, we do not charge fees either to the clients or to the courts. This clinic was also started with federal funds and is now supported by the law school.

The **International Human Rights Clinic**, beginning its second year and supported by Title IX with a three year grant, is an exciting new program which brings together the strengths of our international human rights curriculum with that of our clinical program. Students represent clients who have been victimized by human rights abuses in other countries in cases before the Inter-American Human Rights Commission and in political refugee and asylum cases.

We have also started a **Tax Clinic**. We were able to start this clinic because we benefitted from another federal program. The Treasury Department awarded us an attorney-in-residence for the past academic year. This enabled us to free up a tax professor from other teaching duties to initiate this new program involving students representing clients before the Tax Court. Each of these cases involved small amounts of money for working people who otherwise would have been unrepresented. We are now searching for grant support to enable us to continue this successful program.

These programs typify those created in the nation's law schools with the help and encouragement of this very useful and relatively inexpensive federal program. I am confident that the deans of law schools from nearly every state can tell a similar tale. Accordingly, I urge the reauthorization of Title IX of the Higher Education Act. I also urge the continuation of the recent change in the program which permits three year grants, enabling law schools better to assess the programs and to try to assemble the resources necessary for their continuation.

TESTIMONY BEFORE THE

SUBCOMMITTEE ON POST-SECONDARY EDUCATION

OF THE

EDUCATION AND LABOR COMMITTEE

OF THE

UNITED STATE HOUSE OF REPRESENTATIVES

PRESENTED BY

ROBERT A. CHAIM, ArtsD.

ON BEHALF OF

McGEORGE SCHOOL OF LAW
UNIVERSITY OF THE PACIFIC
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TESTIMONY BEFORE THE
SUBCOMMITTEE ON POST-SECONDARY EDUCATION
OF THE EDUCATION AND LABOR COMMITTEE
OF THE U.S. HOUSE OF REPRESENTATIVES

presented by

Robert Chaim
UOP McGeorge School of Law
3200 Fifth Avenue
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On behalf of McGeorge School of Law (of the University of the Pacific) it is a privilege, a pleasure and an honor to provide this testimony in support of re-authorization of the Patricia Roberts Harris Graduate and Professional Study Fellowship Program -- as originally authorized by Part B of Title IX of the Higher Education Act of 1965, as amended -- before the Subcommittee on Post-Secondary Education of the Education and Labor Committee of the United States House of Representatives.

I should like to think that this task falls to me for reasons that extend beyond the arbitrary. Permit me to introduce myself and our testimonial strategy briefly. As Assistant Dean at McGeorge, with administrative responsibility for minority affairs, I have been the Patricia Roberts Harris (PRH) Institutional Director here since the inception of the Program in 1978. With assistance from faculty and other administrators, I have drafted all of our PRH proposals -- eleven of thirteen of which have been successful; and I have had primary responsibility for recruitment, counselling and supervision of the fellows in residence. For further detail about my educational and experiential background, the reader is referred to my *curriculum vitae*, which is attached to this narrative testimony in the EXHIBIT on pages A-120-121. Though not a lawyer, I am keenly aware of the vast disparity between ethnically proportional representation and the past and current composition of the practicing bench and bar, of the desperate need for enhanced representation in the profession of law by under-represented segments of our society. This is the *raison d'etre* for the PRH Program (in law as well as in other disciplines), and our commitment to it manifests our institutional commitment to educational affirmative action generally. While complete statistics are not available for all of the years of the existance of PRH, the numbers that are available indicate that McGeorge School of Law has been one of the most successful institutional participants in the Program. We are extremely proud of the successes of each one of our PRH Fellows.

Those successes and that pride are clearly articulated in our grant proposals. Hence, accompanying this narrative testimony, as an EXHIBIT, is a copy of our "Application to Participate ..." for the upcoming, 1991-92 academic year, along with selected appendices. The Subcommittee is respectfully urged to peruse that EXHIBIT, for it details each and every aspect of the PRH Program at McGeorge School of Law; this narrative will make specific reference to it throughout.

While the Program was originally conceived as the Graduate and Professional Opportunities Program (or G*POP) and so existed for several years before Secretary Harris's name was given to it, we would take the liberty of reminding the Congress, at the very outset, that the language, "and Professional," has manifested an integral aspect of the original Congressional intent and *should remain so*. While the American community of legal education does not take issue with the national need for enhanced numbers of graduate degrees to be awarded to members of groups traditionally under-represented, we respectfully assert that the concomitant need for enhanced numbers of Juris Doctor degree recipients, emanating from these selfsame groups, is *no less pressing*. For statistical and other verification of that need, *see* pages 26 through 33 of the EXHIBIT.

By far, the sturdiest and most convincing arguments for continued nurture of minority law students under the auspices of the PRH Program are the successes of those who have been supported by it. Each of the PRH Fellows represents a net increase in the number of law students nationally, representative of the Program's "target groups" (*see* EXHIBIT, pp. 19-22), insofar as the financial need test, which is a prerequisite to participation, indicates that the fellows could not have attended McGeorge were it not for PRH. The EXHIBIT's "Introduction" (pp. i-v) provides some dramatic detail about the fellows as a group. The roster of twenty-nine fellows who have attended, or are attending, McGeorge (pp. ii-iv) tells an even fuller story; the biographical detail--from admission to law school to advancement to the very pinnacles of the practice of law--articulates a lucid record of success.

The truly remarkable success of the PRH Program at McGeorge is further detailed in the section that relates to passage on professional admission (bar) examinations and placement (pp. 26-29). A 95% passage rate on the tough California Bar Examination for Black and Hispanic PRH Fellows and a placement rate of 100% of those admitted to practice has exceeded the expectations of even the most optimistic.

For these reasons and others detailed in the attached proposal, the Patricia Roberts Harris Fellowship Program should be re-authorized under Part B of the new Higher Education Act.

EXHIBIT

UOP McGeorge School of Law Application to Participate in the Patricia Roberts Harris Fellowship Program

Spring, 1990-91

Robert A. Chaim
Institutional Director

McGeorge School of Law
University of the Pacific
3200 FIFTH AVENUE · SACRAMENTO, CALIFORNIA 95817

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INTRODUCTION

The McGeorge School of Law, of the University of the Pacific, is pleased to submit this application for Fellowship assistance under the Patricia Roberts Harris (PRH) Fellowship Program, as authorized by Part B of Title IX of the Higher Education Act of 1965, as amended. Since the School of Law is the only entity within the University that seeks participation in PRH, we apply based solely on the past and present efforts made by McGeorge School of Law to achieve the Program's stated objective: to increase access into professional education leading to employment by serving members of minority groups that have traditionally been underrepresented among the recipients of the professional law degree. At the outset, it is stated that the "target groups" focused upon by this application are Hispanic-Americans and Black-Americans.

This application serves a dual purpose. On the one hand, it seeks renewal of five (5) Fellowships which were granted for, and began, during the 1989-90 and 1990-91 academic years. On the other hand, it is an application for ten (10) new Fellowships. It is imperative that the Secretary and the other evaluators understand that this is not an inflated proposal.

McGeorge currently has ten (10) PRH Fellows in residence and has awarded eighteen (18) Fellows the Degree of Juris Doctor since the inception of the Program. Five of the ten Fellows in residence are expected to receive the Degree of Juris Doctor on May 25, 1991, which will bring the total of McGeorge Harris alumni to twenty-three (23) at that time.

So far as we are able to ascertain from the annual reports released by the Department of Education, UOP McGeorge School of Law has been the single most successful participant in the PRH Program among American institutions of legal education. That is to say that we have recruited, educated and graduated more members of under-represented groups into the legal profession through PRH than any other institutional participant. And beyond the confines of the discipline of law, the degree of success realized by initially-recruited Fellows at McGeorge compares very favorably with all other institutional participants in PRH. We believe that this record of success presents, by far, the single most compelling argument in favor of the award of additional PRH Fellowships to McGeorge School of Law. With the encouragement and assistance of the School of Law, the overwhelming majority of our Fellows has transformed PRH support from mere dollars into unique patterns of individual accomplishment and revelation of professional goals, goals unattainable absent that support. Were it not for space constraints, we would like to provide here a full biography for each of the Fellows. But since that is not feasible, we introduce them to you in summary on Table No. 1 as follows:

TABLE NO. 1

ROSTER OF PATRICIA ROBERTS HARRIS (formerly G*POP) FELLOWS AT McGEORGE SCHOOL OF LAW

Legend

(1) Names of PRH Fellows, with undergraduate institutions
(2) Ethnicity: B = Black; H = Hispanic
(3) Year of each Fellow's appointment
(4) Year of each Fellow's receipt of Juris Doctor Degree
(5) Bar Admission
(6) Representative curricular, co-curricular and extra-curricular activities
(7) Current employment

(1)	(2)	(3)	(4)	(5)	(6)	(7)
Jerome English CSU-Sacramento	B	78	81	CA	Dean's List; Clerk, California Supreme Court; J.D. with Distinction; Order of the Coif	Partner: Pillsbury, Madison and Sutro, San Francisco, CA
Joseph Rodriguez UC-Berkeley	H	78	81	CA	Member, La Raza Law Students Association	Partner: Ahern, Mooney Rodriguez & Weis San Leandro, CA
Michael Ledoux UCLA	B	79	82	CA	President, International Moot Court; Jessup Competition Team	Associate Counsel, Northrop Corp. Hawthorne, CA
Paulette Garcia UC-Davis	H	80	83	CA	Director, Minority Tutorial Program	Assistant Claims Counsel: Fluor Corp., Walnut Creek, CA
Andrew Briseno UCLA	H	80	83	CA	Clerk, U.S. District Court	Associate: Cooper and Sheffer Sacramento, CA
George de la Flor U-Chicago	H	80	83	CA	Intern, Community Legal Services	Partner: Phia and de la Flor San Diego, CA
Geraldine Rosen UC-Berkeley	B	82	85	CA	Law Clerk, Legal Services of Northern California	Deputy City Attorney San Francisco, CA
James Vaughns CSU-Hayward	B	82	85	CA	International Moot Court Honors Board; Jessup Competition Team	Associate: Kopp & DeFranco San Francisco, CA
Carlos Chavarria National University	H	83	86	CA	Clerk, Sacramento District Attorney	Associate: Hollywood and Neil San Diego, CA
Genaro Ramirez USC	H	83	86	CA	Dean's List; Clerk, California Supreme Court; J.D. with Distinction; Order of the Coif	Deputy District Attorney San Diego, CA
Veronica Pryce Barnard College	B	84	87	CA	Staff Writer: Comparative Law Yearbook	Associate: Hyatt Legal Services San Francisco, CA

TABLE NO. 1 (Continued)

ROSTER OF PATRICIA ROBERTS HARRIS (formerly G*POP) FELLOWS AT McGEORGE SCHOOL OF LAW

Legend

(1) Names of PRH Fellows, with undergraduate institutions
(2) Ethnicity: B = Black; H = Hispanic
(3) Year of each Fellow's appointment
(4) Year of each Fellow's receipt of Juris Doctor Degree
(5) Bar Admission
(6) Representative curricular, co-curricular and extra-curricular activities
(7) Current employment

(1)	(2)	(3)	(4)	(5)	(6)	(7)
Valerie McGuire CSU-San Francisco	B	84	87	CA	Dean's List; Judicial Internship	Associate: Porter, Scott, Weiberg & Delehant, Sacramento, CA
Manuel Garcia Cal.Poly.-Pomona	H	85	88	CA	Treasurer, La Raza Law Student Association (LLSA)	Deputy District Attorney Los Angeles, CA
Njoki Mukese New York U.	B	85	N/A		Member, Black Law Students Association (BLSA); Left McGeorge June 1988	Unknown
Lisa Pompa UC-Santa Barbara	H	85	88		Writer, *Pacific Law Journal*; Dean's List; Editor, DIALOGUE	Awaiting Bar Results
Othello Curry III Wichita St. U.	B	85	88	CA	Coordinator, Minority Academic Assistance Program; Regional Treasurer, National Black Law Students Association	Deputy Public Defender Sacramento County, CA
Monica Bennett U-San Diego	H	85	89	CA	Member, Latino Law Students Association	Bennett Law Offices San Diego, CA
Ricardo Nicol U-San Francisco	H	86	89	CA	Vice President, LLSA	Law Offices of Michael T. Doudna Santa Ana, CA
Mary Aguirre UOP	H	86	89	CA	Secretary, LLSA; International Moot Court Honors Board	Deputy District Attorney San Joaquin County Stockton, CA
Kelly Ching UCLA	B	88	90		3rd-Year Student; Vice President, BLSA; Summer Intern, IRS District Counsel; Intern, Community Legal Services	Awaiting Childbirth To Prepare for February 1992 Bar Examination
Charlene Lopez CSU-Sacramento	H	88	90		3rd-Year Student; President and Secretary, LLSA; Summer Intern, CA Attorney General; Intern, Community Legal Services	Associate, Johnson, Pagliero and Schacter; Currently Part-time, To Commence Full-time August 1991
Fredericka Moore UCLA	B	88	90		3rd-Year Student; Member Faculty Committee on Minority Affairs; Assistant Student Coordinator, MAAP; Member, BLSA; Honors Board, International Moot Court	Murtaugh, Miller, Meyer & Nelson Orange, CA To Commence August 1991
Thedius Thompson Pomona College	B	88	90		3rd-Year Student; Treasurer, BLSA; Summer Intern, Attorney General	General Services Administration; To Commence August 1991
Ginger Ortiz U-Denver	H	88	90		3rd-Year Student; Student Coordinator, MAAP; Vice President, LLSA; Finalist, Moot Court; Summer Clerk, Colorado Attorney General	
Carmen Butler Michigan State U.	B	89			2nd-Year Student; Member BLSA; Summer Intern, Torts Branch of Litigation Division, Army JAG, Washington, DC	
Richard Williams CSU-Sacramento	B	89			1st-Year Student; Member BLSA	

TABLE NO. 1 (Continued)

ROSTER OF PATRICIA ROBERTS HARRIS (formerly G*POP) FELLOWS
AT McGEORGE SCHOOL OF LAW

Legend

(1) Names of PRH Fellows, with undergraduate institutions
(2) Ethnicity: B = Black; H = Hispanic
(3) Year of each Fellow's appointment
(4) Year of each Fellow's receipt of Juris Doctor Degree
(5) Bar Admission
(6) Representative curricular, co-curricular and extra-curricular activities
(7) Current employment

(1)	(2)	(3)	(4)	(5)	(6)	(7)
Vida Mckaro California State University-Sacramento	B	90			1st-Year Student; Member BLSA	
Dennis Rhodes Yale University	B	90			1st-Year Student; Member BLSA	
Denise Olabi Iowa State University	B	90			1st-Year Student; Member BLSA	

What is evident from this table is that: (1) 25 of the 26 McGeorge Fellows--or 96%--progressed or are progressing satisfactorily through their academic programs; (2) 18 have earned the degree of Juris Doctor; an additional five are anticipated to receive theirs in May of 1991; (3) the advanced Fellows have experienced a diversity of curricular, co-curricular and extra-curricular activities while in law school; (4) several of the Fellows (most notably English, Ramirez and Pompa) have risen to the highest of law school academic achievements; and, (5) all of those Fellows who have been admitted to the bar are now engaged in the active practice of law.

Another noteworthy bench mark of the success of the Harris Program at McGeorge occurred during 1989. One of the three first Fellows that we recruited rose to the very summit of success in the legal profession--only eight years after graduation and admission to practice. Jarone English was elected by his senior colleagues to the position of Partner in the highly prestigious law firm of Pillsbury, Madison and Sutro, the ninth largest in the United States. This contribution by PRH to the minuscule number of Blacks that participate in the leadership of the nation's premier law firms is nothing short of remarkable.

Minority programs at UOP-McGeorge School of Law are relatively modest in terms of raw numbers but are committed, vigorous and enthusiastic in content. We are pleased and proud to stand upon our record of success in this Application for the additional support that is crucial to sustain the success of the Patricia Roberts Harris Fellowship Program at UOP-McGeorge School of Law.

(A) THE McGEORGE COMMITMENT TO MEET MINORITY NEEDS: PAST AND PRESENT

Codification of institutional commitment to minority goals took place at McGeorge during 1972. During the fall of that year, Dean Gordon D. Schaber charged a Task Force on Minority Affairs

> to survey the existing program and to make recommendations concerning the future handling of recruitment, admissions, advancement, educational programs and financial assistance[1]

with regard to minority students. While the establishment of this Task Force does not mark the genesis of our affirmative action efforts, it does constitute a significant landmark in the evolution of institutionally-coordinated efforts designed

> to increase the flow into the practice of law of attorneys who are identified with, and will hopefully serve and/or provide leadership and encouragement to, minority groups in a general population which now suffers from lack of legal representation within their ranks.[2]

While the substantial recruitment efforts of McGeorge School of Law are to be discussed in Section (B) below, other manifestations of institutional commitment to the above-stated goal will now be addressed.

(1) Minority Admissions

As a direct result of the Minority Affairs Task Force final report, issued February 2, 1973 (and included as Appendix 1 in this application), a Minority Affairs Committee was established, whose charge and jurisdiction extend to matters of recruitment, retention, financial aid and placement. One of its primary responsibilities is to review applications for admission which are submitted by minority students. All applications are initially screened by the regular Admissions Committee according to an admissions procedure which is described on Pages 28-32 of the current *McGeorge School of Law Catalog* (Appendix 2). Those applications that are identified as having come from minority candidates which are not accepted by the regular Admissions Committee are automatically forwarded to the Minority Affairs Committee for further, more thorough review, irrespective of numerical credentials.

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[1] *Task Force on Minority Affairs* ("Task Force"), McGeorge School of Law, February, 1973.

[2] *Task Force*

The Minority Affairs Committee (MAC) is composed of six faculty members, two administrators and three students. The Committee thoroughly examines each applicant's file, looking especially to indications of maturity gained and industry demonstrated in areas of pursuit other than educational ones and to indications of educational or economic disadvantage or both. Factors examined by the MAC, which may have escaped the attention of the regular Admissions Committee, include employment history, community involvement, military service and extra-curricular leadership. The MAC directly contacts individual applicants in pursuit of additional information to be considered in the Committee's deliberations. Most frequently, this contact is made by the student member of the Committee who shares ethnicity with the applicant.

When the Committee has completed its review of the application, it makes written recommendation to the regular Admissions Committee. Historically, the Admissions Committee has acted favorably on 100% of those MAC recommendations, ultimately resulting in dozens of offers of admission each year that would not otherwise be extended.

The institutional commitment of McGeorge School of Law to meet the needs of minority students is also manifested through various forms of reaching out to undergraduate and younger students. Members of the faculty have formed a speakers' pool that is drawn upon by educational institutions (often, grammar and high schools), public service groups and others. Minority Affairs Committee members make themselves available to speak on issues of particular interest to potential minority applicants, such as constitutional law topics, the need for enhanced representation in the legal profession by underrepresented groups and--of course--opportunities in law for minorities.

Outreach to those who have decided to apply to law school but who may not know about or be considering McGeorge is also extremely important. The Law School Admission Service, through its Candidate Referral Service, offers each year to member schools computer-generated searches for potential law school applicants who have indicated that they would like to be contacted by law schools interested in receiving an application. Each year, McGeorge subscribes to the Candidate

Referral Service to identify qualified minority candidates throughout the United States. The School's catalog, application, scholarship and financial aid handbook, and other informational materials are forwarded to those so-identified, along with an accompanying letter encouraging their consideration of McGeorge. Thus, through every available resource, McGeorge attempts to identify and reach all qualified minority applicants in the United States.

(2) **Academic, Financial and Social Support**

UOP-McGeorge School of Law has long been cognizant of the fact that attraction and admission of minority students mark only the initial steps in assisting members from underrepresented groups in entering the profession of law. The provision of academic, financial and social support is at least of equal importance. Candidates admitted, but disqualified because of sub-standard academic performance (for whatever reason) contribute little toward the goals stated by the Patricia Roberts Harris Fellowship Program. By the same token, students who are inadequately prepared for success on bar examinations and subsequent admission to practice cannot enhance representation. McGeorge has manifested its awareness of, and concern for, such special needs through the provision of formidable programs of academic assistance.

Academic assistance at McGeorge has come to be a joint venture of students, faculty and administrators. At its center is a Student Coordinator and a group of advanced, honor students who serve as Academic Assistants, but intimate involvement and direct participation by the faculty are essential to the Program's success. It is administered by the Assistant Dean for Students. Each academic year, he appoints a Student Coordinator, selecting from among individuals who have demonstrated commitment to the Program--notably academic and social leaders, often from the minority student body--with sufficient time, talent and dedication to contribute to the Program. In turn, the Student Coordinator, in consultation with and with the approval of the Assistant Dean, recruits a staff of Academic Assistants. All Assistants and the Coordinator are paid, at the rate set for faculty research assistants (a rate higher than other student employees on campus), for their preparation and presentation time.

Support services are also provided by the Office of Student Services. While the original (first generation) Minority Tutorial Program was operated almost exclusively by students, it has evolved substantially since its inception and it continues to mature.

Reflection upon the history of that evolution reveals the level of commitment at McGeorge to academic assistance as an imperative and essential ingredient of affirmative action and to affirmative action itself. During 1983 an ad hoc committee was assembled to review and make recommendations concerning the Minority Tutorial Program. The committee consisted of faculty members, administrators and minority students. It broadened the scope of the program, added exclusive eligibility requirements, and generally enhanced it--under the new rubric, the Minority Academic Assistance Program (MAAP). While those (second generation) *Guidelines* are reproduced in Appendix 3, they were superseded by vote of the full faculty on March 1, 1991 when it approved new (third generation) *Guidelines for the Minority Academic Assistance Program*, guidelines which are attached hereto as Appendix 4.

These new *Guidelines* manifest the product of two years of assiduous study, vigorous debate and careful deliberation. This revision process was initiated in the Spring of 1988 at the request of the Dean of the School of Law, partially because the Program had not undergone thorough review for fifteen years and partially in response to some adverse reaction to the Program by a few non-minority members of the student body. In short, the Dean urged the faculty to revisit the whole issue of minority academic assistance. To produce this "third generation" program, the Minority Affairs Committee appointed a second ad hoc committee to review, evaluate and re-draft the *Guidelines*. That committee, too, was composed of members of the faculty, the administration and the student body. Its membership, though, included representation by non-minority--as well as minority--students.

The new *Guidelines*, which the Secretary is urged to review carefully, enhance the program even further. First, they re-affirm exclusive eligibility criteria, but look to the profession (i.e., the ABA), rather than the census, for definition of target groups, relying upon historical under-representation.[3] Second, they increase active participation by the faculty, espousing a cooperative team-approach.[4] Third, they more clearly define the peer assistance that is provided by upper-division students.[5] Throughout, they increase the institutional resources that support the program, both human and financial.

In the midst of the current, national trend of retrenchment and general diminution of vigorous affirmative action efforts, our faculty's policy decision has been courageous and aggressive. It has been said that affirmative action at the admission threshold that is not sustained through academic support can be more detrimental than no affirmative action whatsoever. McGeorge's commitment to academic assistance manifests, above all, its dedication to contributing to diversity in the profession. Though not voluminous, the academic and vocational attainments[6] of our minority students and alumni seem to suggest that our faculty has chosen the proper path.

MAAP sessions are designed to sharpen analytical skills through small-group, participatory review of all subjects that are taught during the first year of law school; one-on-one assistance is offered as supplementation. Sessions meet regularly on the campus, typically on weekends in order to provide maximum access to students from both the Day and Evening divisions. Faculty who teach in the first-year curriculum contribute to these sessions, both by leading them themselves and by conferring with advanced students who lead others. PRH Fellows have also been deeply involved with MAAP, both as participants and as leaders.

During 1982-83, Paulette Garcia, a G*POP (i.e., Harris) Fellow, served as co-director of the Minority Tutorial Program. It was directed by Mr. Genaro Ramirez, another G*POP Fellow, during 1985-86. Othello Curry III, still another Harris Fellow, served as Student Coordinator of MAAP during 1987-88; and this year's

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[3] *Guidelines for the Minority Academic Assistance Program at University of the Pacific McGeorge School of Law* ("Guidelines"), adopted by the Faculty 3/1/91, Sec. III.

[4] Guidelines, Sections V-A, C, D & E.

[5] Guidelines, Sec. IV § 3.

[6] See "Table Number One" above and "(E) Admission to Practice, Placement and Employment Opportunities" below.

Student Coordinator, third-year Harris Fellow Ginger Ortiz, is playing a key role in the Program's transition. The Harris Fellows--many of whom have demonstrated academic superiority, great industry and a special commitment to MAAP--have obviously been major contributors to the Program.

In anticipation of faculty approval of the proposed (now current) *Guidelines*, the Program has been directed this year (1990-91) according to principles manifested in the new draft. Professor Brian Landsberg, the Chair of MAC, has been the of Faculty Advisor, sharing duties with Professor John Myers. His invaluable participation has extended from offering tutorial sessions himself and advising Student Coordinator Ortiz to working with the Assistant Dean on the transition of the Program's administration.

Together, the Assistant Dean, the Faculty Advisor, other members of the Minority Affairs Committee and the Student Coordinator have mounted the most thorough and diverse program of academic assistance in the history of MAAP. The announcement and schedule of small-group sessions for the Winter Quarter of 1990-91 is attached as Appendix 5; attendance rosters and regularly conducted student evaluations indicate a high degree of satisfaction with the Program. Yet it continues to evolve; most recently, a pilot, faculty mentoring program--an additional enhancement--has been sponsored by the McGeorge Black Law Students Association. It is currently being considered by the Committee for formal integration into MAAP. In short, the combination of institutional commitment, vigorous and creative faculty support and enthusiastic student participation has resulted in the continuous refinement of MAAP into what may become a model for effective academic assistance in legal education.

Effective written expression has long been recognized as a particular academic area that is problematical for many minority students. Nearly fifteen years ago, the School of Law initiated a unique response to this problem. This program of academic assistance involved the hiring of an individual with academic credentials in English composition to complement the law faculty. The School of Law has thus assured the availability of a member of the professional staff to deal specifically with problems that students have in preparation for and the writing of both law school and bar examinations. Through a number of postings and bulletins, this individual's availability is made known; many students consult with him voluntarily, while others are referred by members of the substantive law faculty.

A major facet of academic assistance at McGeorge involves writing workshops. These are regularly scheduled during the academic year, meet weekly, and concentrate on the perceived needs of the participating students. The primary area of focus is upon the writing of law school examinations. The academic assistance faculty leads these relatively informal workshops. Even though they are offered without academic credit, participation has been good.

During a typical workshop, a single examination question is analyzed. This analysis may take a variety of forms. Since all past examinations are kept on file as a matter of policy in the Law Library at McGeorge, the workshops have no dearth of material for analysis.

One approach is to examine a "fact pattern" and discover alternative avenues of response to the questions posed. Another approach is to analyze critically both successful and unsuccessful attempts at responses to those "fact patterns." Still another is to attempt to edit and revise an unsuccessful attempt, in a cooperative effort, in order to discover traps and pitfalls that other students experience in responding to examination questions. In short, the writing workshops are designed to provide insights into the anatomy of the examination-writing process and--more generally--the thinking processes involved in legal problem-solving. During the past five years, additional writing workshops, available exclusively to minority students, have been scheduled as integral parts of the Minority Academic Assistance Program.

As with the MAAP and the individual counseling program, response to the writing workshops has been positive at McGeorge School of Law. It is far from coincidental that the individual described above, with the background in expository writing, was chosen to be the Institutional Director of the PRH Fellowship Program at the School of Law. A discussion of his general responsibilities and the role that he plays with the PRH Fellows follows in

Section (D).

While McGeorge School of Law has been highly successful in attracting and retaining qualified minority students (as will be demonstrated in Sections (C), (H) and (K)), the overall percentage that they represent in the student body, while near the national median, is not as high as we would like it to be. The primary reason for the relatively low percentage of minority students registered at McGeorge is very simple: it is a matter of money. As a division of the University of the Pacific, a private institution of higher education, McGeorge must levy a relatively high tuition: approximately $13,400 for the 1991-92 academic year. In the context of competing for highly qualified minority students, this tuition figure presents a particular impediment, especially in light of the fact that McGeorge shares the State of California with the four public law schools of the University of California system, which are able to offer strong programs of legal education at a rate of approximately one-fifth of ours.

In order to buffer this cost differential and to make law training economically viable for as many as possible, McGeorge has mounted one of the largest and most comprehensive financial aid programs among all law schools. The following figures (for the 1989-90 academic year) represent the most recent complete available summary:

TABLE NO. 2
FINANCIAL AID SUMMARY

Guaranteed Student Loans	$6,768,679
National Direct Student Loans	1,130,616
Work Study	
Federal Share	448,577
McGeorge and Agency Share	224,247
McGeorge Tuition Assistance	190,709
McGeorge Academic Achievement Scholarships	236,984
Other Privately Funded Scholarships	573,056
Auxiliary and Other Loans	6,144,870
TOTAL GRANTS, SCHOLARSHIPS, LOANS & WORK STUDY	$15,717,738

The figure for "Other Privately Funded Scholarships" in Table No. 2 includes proceeds from the Legal Education Endowment Fund (LEEF). The proceeds from a corpus of $1,000,000 are used to offer and award scholarships to entering first-year students with superior credentials. This Fund is designed to provide assistance to incoming students and an additional incentive for applicants to select McGeorge as their law school. The proceeds from this Fund have averaged about $85,000 per year, and Dean Schaber mandated that fifteen percent of LEEF's annual proceeds are to be allocated specifically to first-year minority students, to be administered and awarded directly by the Faculty Committee on Minority Affairs (including its three voting student representatives from AALSA, BLSA and the Latino Law Students Association).

Additionally, at the urging of our Dean, the University approved, prior to '90-91, a new $50,000 per year budget line for permanently endowed, institutionally funded minority fellowships. These funds too, are administered by the Faculty Committee on Minority Affairs, and they currently support two full-tuition, three-year fellowships for members of underrepresented groups, with the residue of the fund allocated by the committee for scholarship support for advanced minority students.

Tuition assistance and academic achievement scholarships, as listed above, are additional grants-in-aid for advanced students that range from five to seventy-five percent of tuition.

The records of the Office of Financial Aid, which is staffed by four full-time professionals, indicate that a substantial percentage of the above assistance goes to minority students. Further, the above total of Financial Aid monies compares very favorably to the total of tuition income for the 1989-90 academic year (including graduate and overseas programs), which was $12,670,573.

Table No. 3 details the funding of PRH Fellows at McGeorge during the 1989-90 academic year:

TABLE NO. 3
FUNDING OF HARRIS FELLOWS AT McGEORGE SCHOOL OF LAW
1989-90 ACADEMIC YEAR

	Federal Contribution	McGeorge Contribution	Total
Tuition and Stipend	$109,333	$42,538	$151,871
Shares	71.99%	28.01%	100.00%

As the cost of providing a premier legal education continues to rise, so naturally will tuition. And as tuition continues to increase, McGeorge has budgeted to continue to increase its level of supplementation of Harris

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Fellowships; we are fully prepared to expend a projected $68,140 if the requested number (15) of fellowships is funded by the Secretary for the 1991-92 academic year.

Another manifestation of McGeorge's commitment to meet minority student needs is the social environment sustained by the School of Law. The "living and learning" environment on the McGeorge campus, faculty and administrative availability to students, and institutional support of student organizations: all contribute to a sense of professional community at McGeorge. Three or four years is a very short period during which to make the transition from student to professional life. An appropriately professional environment facilitates that transition. Both the Latino Law Students Association (LLSA) and the Black Law Students Association (BLSA) are provided with on-campus office and meeting space.

Both the LLSA and BLSA have permanently-endowed scholarship funds, supported by gifts, bequests and the proceeds from the annual scholarship banquet of each. Both organizations have their own scholarship committees, and dozens of Black and Hispanic law students have been assisted by awards from the proceeds of these funds. During 1988-89 and 1989-90, Dean Gordon Schaber allocated two $10,000 contributions to each of these funds from unrestricted gifts that he personally solicited from private donors.

The BLSA Endowed Fund made the most remarkable strides over the past two years. Long-time interest crystallized in the formation of a Black Alumni Steering Committee, which set for itself **a $1 million fund-raising goal to be reached by the year 2,000.** Supported by the Office of Development, Alumni and Public Relations, this campaign was dramatically "kicked off" in early 1991 with bequests from within the Committee's membership totalling over $200,000.

Both BLSA and LLSA are academically and socially supportive of their membership. For example, each sponsors annual scholarship banquets. Recent featured speakers have included the Honorable Henry Ramsey, Judge of the California Superior Court (Ret'd.), Past President of the Council on Legal Education Opportunity (CLEO) and Dean of the Howard University School of Law, and the Honorable Cruz Reynoso, former Associate Justice of the California Supreme

Court, currently a Professor of Law at UCLA. PRH Fellow Fredericka Moore is the immediate past BLSA President, and Charlene Lopes, another PRH Fellow, is a former President of LLSA. The current leadership of our LLSA includes a Patricia Roberts Harris Fellow as its Vice President. The Institutional PRH Director at McGeorge also serves as Faculty Advisor to the Latino Law Students Association. The modest size of our minority population and the high degree to which we share interests and goals tend to make us an intimate group.

The School of Law has made substantial efforts to include members of underrepresented segments of society in its faculty and administration. The full-time and adjunct faculty currently includes three Blacks, three Hispanics, one Asian and one Native American. It is imperative that the Secretary (and other evaluators) recognize that such a minority population exceeds the national average. Unfortunately, minority representation on law faculties nationwide is extremely limited, even less satisfactory than in the practicing bar as a whole. Only about 6.15 percent of law school faculty members (including Asian-Americans and those at historically Black schools) are minorities[7]; the percentage at McGeorge is 8.24. The pool of minority law faculty candidates, like the pool of applicants, needs to be enhanced. The Institutional Director at McGeorge specifically encourages those PRH Fellows, and other minority students, who excel in their studies to consider careers in law teaching. The infusion of Blacks and Hispanics into the ranks of law teaching should remain a PRH priority.

The School of Law also engages in affirmative action recruiting efforts at the Association of American Law Schools annual recruitment conference and through a variety of publications such as the *Affirmative Action Register* and the *Chronicle of Higher Education*. There can be little doubt that more work needs to be done in this area nationally; the PRH Fellowship Program has the potential of contributing a start toward the resolution of this imbalance.

(3) Other Evidence of the McGeorge Commitment To Meet Minority Needs

Two other McGeorge programs provide additional, solid evidence of the commitment of the School of Law to meet the needs of potential law students who are members of minority groups underrepresented in the profession of law.

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[7] *A Review of Legal Education in the United States* (A.B.A. Section of Legal Education and Admissions to the Bar, Fall, 1987).

For the past nine years, McGeorge has offered a Summer Pre-Law Program. This six-week session is designed for undergraduates and graduates who want to sample the law school experience before committing themselves to the pursuit of a career in law.

An undergraduate student may earn up to six semester hours of undergraduate credit during the summer pre-law session. Three classes are offered each summer: one is a legal method course; the second covers a portion of a traditional substantive course in a manner typical of first-year course work; and the third is structured to provide a simulated clinical experience. Each class meets three days a week during the morning hours for one hour and forty-five minutes.

In an experience paralleling that of a beginning law student, pre-law students begin to acquire a new vocabulary and a new way of thinking about facts, issues, problems and solutions--all under the instruction of the faculty of the School of Law. Students in the program receive three hours of undergraduate credit from the University of the Pacific for each course successfully completed.

This program, fully described in Appendix 6, has provided an excellent vehicle for introducing minority candidates to law study and for assisting those candidates in gaining admission to institutions of legal education. Well prior to the summer of 1981, when applications for the first Summer Pre-Law Program were being received by the School of Law, it was administratively decided that this program would provide an excellent avenue of exploration for members of minorities interested in legal education. Therefore, through the admissions process and through several campus-based scholarships (*beyond those listed in Table No. 2*), the School of Law made a concerted effort to include a high percentage of minority candidates in the program. Intentionally small enrollment averages about twenty-five students per summer.

Over a five-year period, of the 120 students who were enrolled in this program, 41 (or 34 percent) have been members of minorities underrepresented in the practice of law. Over that same period, the total of tuition and housing scholarships awarded to those minority students was $25,487. That figure represents over one-quarter of the total anticipated proceeds from tuition, plus over one-sixth of the total anticipated proceeds from housing; and it manifests another tangible fiduciary commitment on the part of the School of Law to encourage and recognize the special needs of prospective minority law students. To our knowledge, no minority applicant has ever been prevented from attending this program due to a lack of funds.

Students who attend the Summer Pre-Law Program are urged to maintain contact and make use of whatever assistance we might provide by way of letters of recommendation and further guidance as they pursue law school admission. It has been our hope that knowledge about a student's potential, obtained in this simulated law school experience, would have an impact on at least some admissions decisions. That hope has been realized in fact from the Program's very inception.

One minority student from the 1980 program, who had applied for law school admission for the fall of 1980 and been denied, was able to demonstrate aptitude for legal study. He received the Juris Doctor Degree in 1984 from McGeorge. Subsequent contact with former Summer Pre-Law students indicates that at least ten of those students have gained admission to law school as the direct result of their participation in the Summer Pre-Law Program.

McGeorge School of Law has also actively supported the Council of Legal Education Opportunity (CLEO), which is sponsored jointly by the American Bar Association, the Association of American Law Schools, the Hispanic National Bar Association, the Law School Admission Council, and the National Bar Association. CLEO annually holds Summer Institutes. The purpose of the Institutes is to prepare economically and educationally disadvantaged students for law school by exposing them to an intensive six-week course of legal analysis, writing and research. The Institutes, sponsored and staffed in cooperation with participating law schools, in effect give the students a "preview" of law school, thereby alerting them to the rigorous demands of the first year of law study. In addition, they serve to evaluate the law school potential of each participant.

Because of diminished federal funding, CLEO has sought an elevated level of financial support from individual law schools. Because of its commitment to meet minority needs, McGeorge has responded, as one of the most generous of the institutional supporters in its region. For the summer of 1990, for example, McGeorge contributed to the CLEO Institute with a $4,000 check.

There is no exaggeration involved in stating that members of the administration and the faculty at McGeorge School of Law share a deep commitment to increasing the number of currently underrepresented minorities in the profession of law. On a national scale, perhaps even more significant than his appointment of the 1973 Task Force on Minority Affairs at McGeorge has been the role that Dean Gordon D. Schaber has played in the governing body of the America Bar Association Section of Legal Education and Admissions to the Bar. He has been a member of its governing board for twelve years. During the early '80's, that governing body, the Council of the Section, began to advocate an amendment to the American Bar Association Standards for Accreditation of American Law Schools, known as Standard 212, which is reproduced herewith:

> Consistent with sound educational policy and the Standards, the law school shall demonstrate, or have carried out and maintained, by concrete action, a commitment to providing full opportunities for the study of law and entry into the profession by qualified members of groups (notably racial and ethnic minorities) which have been victims of discrimination in various forms. This commitment would typically include a special concern for determining the potential of such applicants through the admission process, special recruitment efforts, and a program which assists in meeting the unusual financial needs of many such students...

In the wake of the *Bakke* reverse discrimination decision of the U.S. Supreme Court, this Standard is considered by many to be the most aggressive step toward affirmative action in American higher education during the past fifteen years. This Standard was passed by the House of Delegates of the American Bar Association while Gordon D. Schaber, Dean of McGeorge School of Law, held the offices of Chair-Elect of the Council and Chair of its Standards Review Committee. His efforts were instrumental in the promulgation and passage of this important Standard, and--given his position at our helm--those efforts must be recognized as representative of the commitment by the faculty and administration of McGeorge to increase the flow of underrepresented minorities into the profession of law.

Gordon Schaber has the longest tenure as Dean among all deans of American law schools. He continues to serve the Council of Legal Education as its Secretary, and--despite a threatening atmosphere of contrary political trends--his commitment to affirmative action in legal education has not flagged. The value of this level of commitment at the top of the administration cannot be overestimated; anyone familiar with the politics of higher education knows as much.

(B) RECRUITMENT

As a private institution of legal education with a national student body and continually-growing reputation for academic excellence, McGeorge School of Law expends substantial time and effort, as well as money, in its recruitment efforts. During the 1989-90 academic year, we expended over $200,000 on recruitment. Since efforts at attracting members of underrepresented minority groups are made both in the general recruiting and the minority recruiting programs, these will be discussed separately below.

The School of Law maintains that its participation in a substantial recruitment program is vital for a variety of reasons, the most obvious of which include:

1. To expand the ethnic, sexual and geographical representation of the student body;
2. To improve the overall quality of the enrolled student body;
3. To communicate the general character and quality of all phases of our program;
4. To develop new placement markets;
5. To broaden our alumni base; and,
6. To identify those persons who have demonstrated their competence in settings other than higher education and those persons with special needs that should be accommodated by the School of Law. Other settings include, for example, community involvement, governmental activities, and other varied backgrounds and experiences deemed to be significant in the preparation for the study of law.

(1) **General Recruitment**

Recruitment efforts are coordinated by the Office of the Dean of Students. The process begins with an initial mailing to pre-law advisors and others at undergraduate colleges and universities across the nation. This year, that distribution went to approximately 1,000 of those pre-law advisors. The distribution package includes the current *McGeorge School of Law Catalog* and a number of auxiliary pamphlets that include: *Pre-Law Reading List* and *Opportunities for Minority Students*.

The *Opportunities* brochure, which was recently redrafted by a team consisting of deans, faculty members and minority students, is included herein as Appendix 7. Note the prominence with which the Patricia Roberts Harris Fellowship Program is described in the *Catalog* and the *Opportunities* brochure.

All of the literature described above is carried and distributed by the recruitment staff. That staff consists of administrators, faculty members, recent graduates hired particularly for the purpose of recruiting, and currently enrolled students. The minority student organizations on campus are also actively involved in recruitment activities, especially at events sponsored by minority student organizations on undergraduate campuses. Schedules permitting, minority law students are often funded to return to their undergraduate alma mater to recruit. During the past ten years, recruitment by McGeorge has taken place at well over an average of 125 schools per year. Recruiting visits occur within one of three general formats: individual visits by recruiters to one school; attendance at school-sponsored pre-law or graduate school days; and area-wide pre-law days sponsored by pre-law advisor associations and the Law School Admission Council (LSAC), drawing students and pre-law advisors from undergraduate schools within a broad geographic area.

For an individual visit, arrangements are made by the Dean of Students, notification of the recruitment visit is posted on campuses and run in student newspapers, pre-law advisors and pre-law clubs are contacted, and then the school is visited. Whenever possible, the entire membership of pre-law clubs is invited to attend a presentation. A typical presentation includes addressing small groups, after which the floor is opened to a question-and-answer session. Some pre-law advisors prefer to schedule individual interviews with potential candidates, and, in that event, they are accommodated.

Pre-law and Graduate and Professional Career Days are sponsored by a number of major undergraduate schools throughout the country. During these, representatives from McGeorge and other major law schools are invited to answer questions raised by students drawn from the host school as well as from other colleges and universities in the general area.

A third type of recruiting visit draws together members of regional pre-law advisor associations (e.g., Midwest, Southeast). At these meetings, representatives from McGeorge and other law schools not only meet with students from undergraduate schools in the area but also have an opportunity to talk with pre-law advisors. Participation in these growing, pre-law advisor associations has permitted McGeorge to provide information to a number of smaller colleges which otherwise might not be feasible to contact.

During all recruitment visits, vigorous appeals are made to applicants from underrepresented groups. They are advised of minority fellowships and scholarships (including, of course, PRH), the Minority Affairs Committee and the role that that Committee plays in the admissions process. Those who wish further information or guidance are invited to write or telephone a student-member of MAC, the Minority Recruitment Coordinator or the PRH Director.

During the 1980 to 1990 academic years, approximately 220 schools were visited in the general recruitment program. A complete list of those schools, by state, may be found in Appendix 8 of this application.

(2) **Minority Recruitment**

In addition to the substantial efforts made to recruit members of underrepresented minorities in the context of its general recruitment program, McGeorge School of Law asserts itself in specialized efforts to recruit members of these groups. Faculty members on the Minority Affairs Committee and students from the School's Latino and Black Law Students organizations are active participants in these specialized recruiting efforts, as is the PRH Institutional

Director.

The School of Law participates in many minority recruitment days held by host colleges and universities throughout the nation. Minority law students represent the School at many of these specialized recruiting programs. This year, under the supervision of the Dean of Students, various members of the Faculty Committee on Minority Affairs and various minority student-leaders conducted recruitment focused upon members of minorities underrepresented in the legal profession. Members of both the Black and Latino Law Students associations have participated in recruiting trips during the 1990-91 academic year, most recently to a Minority Pre-Law Day sponsored by the Northern California law schools on Saturday, November 17, 1990, at the University of California at Berkeley.

Various Black and Hispanic pre-law societies are contacts at a number of colleges and universities. This year, the staff also attended minority pre-law and graduate and professional programs at such schools as the University of California at Irvine, Riverside and Davis; Stanford University; California State University at Fresno, San Jose, Hayward and Sacramento; and the University of San Francisco. Further, we participated in Washington, D.C., Area Days. At distant sites, members of our minority alumni assist us with recruitment whenever possible.

The commitment which McGeorge has manifested in its minority recruitment efforts is partially substantiated in Appendix 9, which lists representative colleges and universities where minority recruitment has taken place during the past seven years. In addition to the above recruitment program, the Admissions Office cooperates with our minority student organizations in a program whereby applicants to the School of Law are contacted personally by minority law students to provide further information, encouragement and a personal, on-campus contact to whom the applicant can address questions.

Both the Dean of Students and the PRU Institutional Director have established informal, but extensive, networks of contacts with minority faculty members, per-law advisors and others at undergraduate schools across the nation to enhance McGeorge's minority recruitment efforts. For example, the Career Counselor at

U.C. Irvine, Bob Gomez, has helped to identify numerous Hispanic candidates; and an ROTC Cadre Leader at Michigan State University was instrumental in the recruitment of one of our 1989-90 Harris Fellows. The value of these networks is not to be underestimated.

Not fully discussed here are those affirmative action programs with recruitment potential, such as our faculty speaker pool, various contacts with minority youngsters from our neighborhood, the Summer Pre-Law Program and high school visits, because they are addressed elsewhere in this proposal. In fact, though, these programs represent some of our most creative and imaginative recruitment efforts, which, over the longer term, may prove to be our most effective efforts as well--if not for enhanced representation at McGeorge, for enhanced representation in legal education *generally*.

(C) **NET INCREASE OF UNDERREPRESENTED STUDENTS AT McGEORGE**

With appropriate cautionary notations, McGeorge has already begun to recruit for 1991-92 academic year Fellowships (which this application is requesting). The current *Catalog* of the School of Law carries, on Page 31 and 36, a description of the Fellowships, as well as a photograph picturing seven of the Fellows. Our new *Opportunities for Minority Students* brochure (Appendix 7) carries a fuller description of the Program, the Institutional Director's direct address, telephone number and a solicitation of inquiries and applications. At this writing, he is receiving inquiries nearly every day. Further, McGeorge recruiters carry copies of an information sheet entitled "Federally Funded Minority Fellowships at McGeorge," which is included as Appendix 10 in this application. In pertinent part, it reads

> While there is no guarantee that McGeorge will receive new fellowships to award for the 1991-92 academic year, our history of success indicates a strong likelihood that we will. It is estimated that McGeorge will learn of its award for 1991-91 during May of 1991. Students applying for consideration on this contingency basis may have their application fee waived upon request by the Director.

This information sheet is accompanied by a poster titled "Graduate Fellowships for Minorities in Law," which is also displayed by recruiters (and included in this application as Appendix 11). On both the poster and the informational sheet, students are invited to write or call directly to the

Institutional Director. In turn, the Institutional Director has made a routine policy of waiving the required application fee for students who wish to apply to the Program on a contingency basis, even if they wish also to make an application for regular admission. Posters and informational sheets are well circulated among undergraduate institutions.

These publicity efforts are designed to attract applicants who may not be able to consider McGeorge School of Law absent the availability of fellowships; hence, these efforts are designed to help assure a net increase of underrepresented law students here. These mailings have resulted in numerous inquiries and applications, over one hundred for example during 1989-90. Given our experience with the PRH Program, we can categorically state that award of Fellowships will result in a net increase of students from the underrepresented groups designated by this application because, as noted above, the cost of attending McGeorge has proven the single, most significant impediment to increasing the percentage of underrepresented minorities in our student body.

The net increase attributable to PRH Fellowships was especially borne out during the 1985-86 academic year (one of two years during which we were awarded the greatest single number of new fellowships (five) in our ten years of participation in the Program. Of the 21 Black applicants that were accepted for admission for the 1985-86 academic year, 10 enrolled. Of the 38 Hispanic applicants accepted, 12 enrolled. Five of those 22 minority first-year students could not have attended UOP-McGeorge School of Law without the support provided by PRH fellowships. In essence, then, the Fellowship Program created a 29.4 percent net increase of minority students in our First-Year Class during the 1985-86 academic year.

Even exceeding the 1985-86 experience was one that transpired at the beginning of the 1988-89 academic year. Once again, we were allocated five new Fellowships which we, in turn, awarded to three Blacks and two Hispanics, all women. Aside from the Fellows, there were five Blacks and seven Hispanics enrolled in that first-year class. The Fellowship awards, then, represented a net increase of 37.5% Black and 28.6% Hispanic students in our first-year class, or a combined net increase of 41.7% in Black and Hispanic minority enrollment.

Of course, the actual percentage of net increase of enrolled minority students varies from year to year. Given an average award over thirteen years of 2.2 new Fellowships per year and a relatively constant flow of minority applicants, the net increase directly attributable to PRH has averaged at approximately 20 percent per year, a formidable gain. A clear inference that can be drawn from these figures is that the net increase of underrepresented students is directly proportional to the number of PRH fellowships awarded in any given year. That gain, though, is better measured in persons than in percentages. The reader is invited, once again, to reflect upon Table No. 1 (pages ii through iv above) to note the individuals who are undertaking or have undertaken a legal education thanks to the PRH Fellowship Program. Better, note the seventeen Black and Hispanic alumni of the PRH Program who are now attorneys, practicing law from San Francisco to San Diego, in large firms and small, in private and public service, as a direct result of the net increase of minority students at UOP-McGeorge School of Law. Though the raw numbers are modest, the personal and societal gains, significant.

This reality also admits, unfortunately, of a negative side. Each year, there remains a number of applicants who are unable to attend McGeorge because of the limited availability of funding. This further guarantees, in our estimation, that the award of PRH Fellowships will continue to result in net increases.

None of the Fellows at McGeorge would have been able to attend McGeorge without fellowships, and nearly all transform support into success.

Mary Aguirre, one of the fellows most recently admitted to the Bar, represents a superb example of the human and social dimensions of "net increase." A native of Stockton, California, Mary was only able to enroll in and graduate from college because the University of the Pacific awarded to her a full (privately-funded) scholarship, based upon a remarkable high school record. Consistent with her demonstrated promise, and based upon academic excellence, she was elected by the faculty of the College of Pacific as one of its outstanding graduates. At an awards luncheon, where McGeorge's PRH Institutional Director was present (to represent the law school), Ms. Aguirre remarked that her plans included undertaking a legal education. Almost immediately, her application to McGeorge was reviewed thoroughly, and Mary was recruited into competition for a 1986-87 PRH Fellowship. As Table No. 1 demonstrates, Ms. Aguirre graduated from McGeorge in May 1989, was admitted to the California Bar in November, and has now realized the long-time ambition of prosecuting cases for the district attorney's office in her home town. The District Attorney of San Joaquin County, another McGeorge alumnus, faced with a large number of qualified applicants, may have been moved to select Mary because of the personal urging of her--and his--law school dean. Now a busy D.A., Ms. Aguirre finds (i.e., makes) time to visit her high school--and others in Stockton's several, depressed Hispanic neighborhoods--to convey the message *Si, se puede!* (Yes, you can!). In fact, Mary embodies just that message.

Absent Harris support, this goal would likely have remained just beyond her reach--if not completely, at least for the several years that it would have taken her to finance a legal education.

Standing all of four feet eleven inches tall, Mary personifies the enormous implications of the "net increase" that is the dynamic of the Harris Program as administered by McGeorge. Should she contemplate ultimately to ascend to the bench, her drive and industry will stand her in excellent stead. All involved--Ms. Aguirre, McGeorge and the administration of justice in Stockton--will be the direct beneficiaries of the "net increase" attributable to the PRH Fellowship Program.

Of course, none of the other institutional or federal programs of support have been or will be diminished because of the PRH Program; in fact, all institutionally-funded programs have been enhanced in recent years, even aside from the new, endowed minority scholarship fund.[8]

(D) INSTITUTIONAL PRH DIRECTOR AT McGEORGE

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[8] See the text following "Table Number Two," above.

When, in spring of 1978, McGeorge School of Law made its first application to the Graduate and Professional Opportunities Program, it designated its Institutional Director as Dr. Robert Chaim. His curriculum vitae is attached to this application as Appendix 12. Though not a lawyer, Dr. Chaim is a voting member of the full-time faculty at the School of Law, was appointed as an Assistant Dean prior to the 1981-82 academic year, and continues to serve as the Patricia Roberts Harris Institutional Director. Among his administrative duties are his responsibility to sit on the committees of Financial Aid, Honors and Awards, and Minority Affairs; to serve as the Student Affirmative Action Officer for the School of Law; to supervise the Minority Academic Assistance Program; and to provide non-academic student services.

His primary academic responsibility is academic assistance to students with perceived needs, primarily in the area of linguistic skills. While he does teach one course for academic credit each term, "Plain English for Lawyers," the great majority of his academic assignment (approximately 75%) is designated to be spent in the provision of academic assistance, the substance of which is discussed in Section (A) (2) *above*. As previously stated, effective written expression has been demonstrated to be a particularly problematical area for many minority law students. As a writing expert, he directly assists the Fellows in maximizing their returns on law school exams.

Dr. Chaim has established a routine of visiting with the PRH Fellows at frequent intervals. He meets with them individually to discuss the entire spectrum of transitional patterns that tend to occur as students immerse themselves in the strenuous process of legal education. Since the first year is typically the most difficult, Dean Chaim meets with the first-year Fellows at weekly intervals, at least intially.

Each meeting is devoted to the discussion of some particular facet of legal education, though casual exchange of impressions and ideas is encouraged. Academic topics for discussion vary. For example, earlier in the year the meetings are largely concerned with taking of class notes and writing of case briefs. He routinely examines the preparation materials of each of the Fellows.

As the year progresses, the meetings are concerned with the organization of complex class materials, processes of review, and the assembly of course outlines. As the terms proceed toward examination periods, the Fellows write practice exams and submit them to Dean Chaim. He responds with evaluations. In fact, samples of all of the Fellows' work--no matter the source of the assignment--are reviewed and commented upon by the Institutional Director. Combining an informal atmosphere with challenging academic expectations, in a setting of genuine concern, creates a strong and close bond of collegiality between the Director and the Fellows. This mentoring relationship may be a significant contributor to the remarkable history of success of the PRH Fellows at McGeorge.

In the regular course of his duties, Dean Chaim frequently solicits the participation of substantive law professors to assure meaningful analyses of student work. Other faculty members at McGeorge cooperate in this effort; all are cognizant of the identity of the Harris fellows, and they keep the Director well-apprised of the Fellows' performance in their classes. Thus, the PRH Fellows receive special assistance not only from the Director of the Program, but from other key faculty members as well. Four of these key faculty members are Professors Landsberg, Myers, Morris and Yelpaala; each is described in the *McGeorge Catalog* (Appendix 2), and their roles with respect to minority affairs are discussed briefly under "Quality of Key Faculty" in Section (I), *below*.

In terms of having sufficient authority to assist the Fellows in all aspects of the educational program, it is important to note that Dean Chaim is a line-officer, who contributes to institutional policy and reports directly to Dean of the School of Law. Given this combination of responsibility and authority, his position is nearly optimum for a PRH Director.

In addition, Dean Chaim enjoys access to all student records, not generally available to faculty, in order to maximize his ability to respond to student needs. For example, the Registrar routinely forwards confidential evaluation reports to him, and the Director of Financial Aid keeps him well abreast of any special needs of minority students.

Further, Dean Chaim supervises the Office of Student Services and maintains close contact with the Office of Career Development and the Business Office in relation to the PRH Fellows. In short, the Fellowship Director at McGeorge coordinates the School's concern for the Fellows with the goals that the Program represents. Each term, he carefully reviews the scores received by all of the Fellows on their examinations to keep abreast of their progress. It is a rare week during which he does not meet, at least casually, with all of the Fellows in residence.

Unfortunate bouts of illness, one with mononucleosis and the other with asthma, caused two recent Fellows to diminish their course loads and to extend and alter their programs at the School of Law. In these circumstances, Dean Chaim helped to redesign the Fellows' curriculum. Further, since there has recently been imposed an absolute three-year maximum upon PRH Fellowship support, he assisted in pursuing alternate sources of support for the additional year of law study required for these two Fellows.

While one of these two, Ms. Monica Bennett, rebounded well and received her Juris Doctor Degree upon recovery, the other, Ms. Njoki Mukasa, was forced--at least temporarily-- to leave the School of Law. Though Ms. Mukasa departure from McGeorge without a degree represents a serious source of concern for the Institutional Director, he asserts with confidence that every single available resource for recovery and success was placed at her disposal, including close supervision by a particularly committed member of the full-time faculty. Since she clearly has the requisite aptitude for success, the Director can only draw the inference that perhaps an interval of intellectual and academic maturation is required before she is able to return to legal education to realize her goal. Ms. Bennett's remarkable "turnabout," on the other hand, could not be more heartening.

With the single exception of Ms. Mukasa, all of the Fellows are progressing--or have progressed--quite satisfactorily toward their professional goals. In the context of a rigorous program of legal education, a success rate of 97 percent among minority candidates is incredibly strong; in fact, it is superlative.

If this level of academic success, bar passage and subsequent employment (discussed *infra.*) of the PRH Fellows provides a fair indicator of the effectiveness of the PRH Institutional Director, he has been successful indeed. More properly, of course, that success is attributable to the aptitude, commitment and diligence of the Fellows themselves. After dispatching his recruitment and selection duties, the Director can only stimulate and encourage the personal talents of the Fellows to help pave the way to success by careful attention to them as whole persons.

Dr. Chaim is also active with PRH on a national level. When he became aware that participation in the Program by law schools might be diminished by a "priority" mechanism favoring Ph.D. programs, he played a key role in mounting a campaign to protect the law schools' fair share of the Program. He mustered nation-wide support through a joint task force of the A.B.A., the Association of American Law Schools and the Law School Admission Council, a task force on which his Dean serves. In fact, he drafted a letter of objection that, in edited form, was ultimately addressed to the Secretary of Education by the Joint Task Force. Dean Chaim's draft and the final letter are included herein as Appendices 18A and 18B.

While we are not insensitive to the pressing need for enhanced representation among holders of the Ph.D. (and, even more, among college teachers), our Director's activism demonstrates, we think, our level of commitment to PRH as a vehicle for *desperately-needed* enhancement of representation in the profession of law--enhancement that was clearly a part of the Congressional intent behind the Patricia Roberts Harris Graduate and *Professional* Opportunities Program.

In short, the Institutional Director at McGeorge applies himself diligently and industriously toward making the most of the Program.

(B) ADMISSION TO PRACTICE, PLACEMENT AND EMPLOYMENT OPPORTUNITIES

Since admission to practice is a necessary prerequisite to legal employment, a high degree of success by McGeorge students on bar examinations creates excellent potential for the placement of minority graduates from McGeorge School of Law. Given the well-known difficulties that minority candidates have had on bar examinations (and especially the California Bar), this contribution by the School is a major one in striving for better representation by minorities in the profession. Eighteen of nineteen PRH fellows who have taken the California Bar Examination have passed it. Anyone who knows anything about minority success rates on that tough examination knows that a 94.7% pass-rate is extraordinary.

Among recent minority graduates at the School of Law, most are in private practice, several are on the bench from the municipal court to the appellate court level, some are with the offices of the district attorney and public defender, and still others are working with governmental agencies. Annually, McGeorge School of Law conducts a survey of its graduating class within 90 days after the completion date of bar examinations. Of the responding graduates of the 1989 graduating class, 97 percent of those eligible for positions in the legal profession were either employed or pursuing an advanced degree. The areas of employment were as follows: Private Practice, 71%; Government, 16%; Judicial Clerkships, 3%; Public Service/Public Interest, 2%; Military (JAG Corps), 2%. The average annual beginning salary was $39,473 for that Class.

During the late '70's, the Young Lawyers Division of the A.B.A. created the Minorities in the Profession Committee. During 1981, that Committee published the following commentary on the status of minority participation in the legal profession, a situation that unfortunately remains the *status quo*.[9]

> Although their numbers have increased, minority lawyers remain essentially in the same position they were in 1968, to wit: a very powerless group. Although minority individuals were "allowed" to enter law school "freely," the privileges of being a lawyer were not extended across the board to the minority lawyer population. What do we mean by that last statement? We mean simply that minority law students/lawyers believed that they would have an opportunity to participate in all segments of the legal profession--namely, anti-trust law, corporate law, banking law, tax law and administrative law--in addition to the more traditional areas of practice set aside for them, criminal law, low-grade matrimonial and personal injury and Title VII work. Instead, minority lawyers have found that the doors to the traditional law firms closed to them, important government and corporate jobs closed

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[9] A.B.A. Young Lawyers Division, Minorities in the Profession Committee, A.B.A./Y.L.D., 1981. (Emphasis added.)

to them, and refusal by major corporations to retain them.

This limitation of opportunities for minority law graduates *has simply* not *been the case* for graduates of the McGeorge School of Law. Among our Harris alumni, Jerone English turned down the offer of a position with the United States Attorney General's Office (an "important government job") in its Anti-Trust Department in favor of a position with one of the nation's most traditional law firms, Pillsbury, Madison and Sutro. As a partner, he practices anti-trust law exclusively.

Another traditional firm, Ahern and Mooney, became Ahern, Mooney, Rodriques and Weis when Joseph Rodriquez became a partner. Both Michael Lachuk and Paulette Garcia are retained by major corporations, the high-tech Northrup and Ticor, a major real property finance concern.

The public sector is well represented by the San Francisco City Attorney (Geraldine Rosen) and the San Diego County (Carlos Chavarria) and San Joaquin County (Mary Aguirre) district attorneys. These are positions of choice. Three additional of the Fellows have undertaken prestigious clerkships with high courts.

These highlights, drawn from Table No. 1, are representative of the diversity of professional legal positions occupied by the alumni of the Patricia Roberts Harris Fellowship Program. In short, contrary to recent public outcries about there being "too many lawyers," minority lawyers are too few by far; and opportunities for meaningful employment in all segments of the profession remain plentiful for McGeorge graduates.

The McGeorge Office of Career Development, the Institutional Director and the Dean of the School of Law have all participated actively in helping to place PRH Fellows immediately upon graduation and admission to practice. Numerous letters of recommendation have been written and personal contacts explored to enhance their employment opportunities. The School of Law considers such efforts to be part and parcel of its affirmative action commitment. The reader will further note from Table No. 1 that three of the five Fellows scheduled to graduate two months from this writing have already secured legal employment, to for" members of underrepresented groups As is evident from Table No. 1, it opens doors to employment in precisely those kinds of firms, offices and agencies that are most in need of minority representation.

(F) EVIDENCE OF UNDERREPRESENTATION IN THE LEGAL PROFESSION BY HISPANIC- AND BLACK- AMERICANS

Minority representation in the legal profession in the nation is disgracefully and unacceptably low. The demographic history of the bench and bar provides ample evidence of historical underrepresentation.

TABLE NO. 4

AN ETHNIC COMPARISON OF THE TOTAL MALE LABOR FORCE
AND THE COMPOSITION OF THE PRACTICING MALE BENCH AND BAR IN THE UNITED STATES,
1950-1980 - IN THOUSANDS[10]

	TOTAL MALE LABOR FORCE	WHITE	NON-WHITE	TOTAL MALE LAWYERS & JUDGES	WHITE	NON-WHITE
1950	40,510 (100.0%)	36,830 (90.9)	3,680 (9.1)	174 (100.0)	173 (99.4)	1 (0.6)
1960	45,686	41,315 (90.4)	4,372 (9.6)	206	203 (98.5)	3 (1.5)
1970	47,624	40,675 (85.4)	6,949 (14.6)	259	252 (97.3)	7 (2.7)
1980	59,754	51,781 (86.7)	7,973 (13.3)	456	439 (96.3)	17 (3.7)

Current demographics indicate that the growth trends in the U.S. population at large are rapidly outdistancing the diminutive gains that have been realized over the past half-century. This past decade has seen only minor enhancement.

TABLE NO. 5
ETHNIC REPRESENTATION IN THE AMERICAN BAR IN 1988[11]

	Total U.S. Population	% of Population	No. of Attorneys	% of Attorneys
	246,329,000	100.00	724,000	100.00
Black	30,326,000	12.3	14,480	2.0
Hispanic	19,831,000	8.1	13,760	1.9

This dramatic disparity, with over twenty percent of the population represented by under four percent of the legal profession, demands attention.

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[10] *Statistical Abstracts of the United States Census*, U.S. Census Bureau, 1950-1980. (Insofar as the 1950 Census reported ethnic detail in this fashion only upon the "male work force," the male work force is used throughout in order to avoid statistical anomalies.)

[11] *Statistical Abstracts*, 1990.

Minority representation in the legal profession in California is unacceptably low when compared with our population as a whole. In 1980, Blacks made up 7.7% of the California population[12] but represented only 2.62% of the State's civilian labor force of attorneys and 2.57% of employed attorneys.[13] Hispanic-Americans were also severely underrepresented in California. Hispanics represented 19.2% of the State's population but only 3.54% of the civilian labor force of attorneys and 3.51%[14] of employed attorneys. It is clear that not only are Blacks and Hispanics grossly underrepresented in the legal profession, but more Black and Hispanic attorneys are unemployed than their white counterparts. Unemployment for Black attorneys is 3.08%; for Hispanics it is 2.2%; while unemployment for white attorneys is only 1.23%.[15] This is largely due to the problems that minority candidates have had with passing the California Bar Examination, but *note* the bar passage and employment rates of FRH Fellows at McGeorge as demonstrated on Table No. 1.

Since McGeorge is located in Sacramento and many of its students are drawn from the Sacramento area and end up practicing law here, it is helpful to examine the level of underrepresentation of minorities in the profession in the Sacramento area. While Blacks made up 7.38% of the population of the Sacramento area, only 1.98% of the attorneys were Black.[16] Also, while Hispanics made up 9.72% of the Sacramento population, only 3.23% of the attorneys there were

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[12] *1980 Census of the Population, General Population Characteristics--California*, p. 6-43 (Since 1980 figures are the most recent available for the California practicing bar, these will be used throughout the balance of this section in order to maintain statistical integrity.)

[13] *1980 Census of Population*, *supra*, Table 217 p. 6-653, p. 6-663, p. 6-673.

[14] *Id.*

[15] *Id.*

[16] *Id.*

Hispanic.[17] While McGeorge has contributed to some small gains in the community, minorities in the Sacramento area remain severely underrepresented in the legal profession.

(G) EVIDENCE OF NATIONAL NEED FOR ENHANCED REPRESENTATION IN LAW BY BLACKS AND HISPANICS

Statistical analysis indicates that in California the ratio of attorneys to the total population is approximately 1 to 373. While attorney representation as a whole in the State of California is somewhat better than that of the nation, minority representation in California is grossly inadequate. There is only one Black attorney for every 1,113 Blacks in California. In addition, there is only one Hispanic lawyer for every 2,091 Hispanics in the State.[18]

The situation locally is better, but not a great deal. In the Sacramento area the ratio of attorneys to total population also points clearly to the need for better minority representation in the legal profession. The ratio of attorneys to residents in the Sacramento area is one attorney per 250 residents. For every Black attorney, there are 933 Black residents and for every Hispanic attorney there are 751 Hispanic residents.[19]

In addition, in the Sacramento area, as of 1980, there were only 15 Black judges and no Hispanic judges at the Municipal or Superior Court level.[20] Today, one Hispanic judge sits on the Municipal Court.

Increased minority representation in law schools in the Sacramento area is essential in order to alleviate the gross underrepresentation of minority attorneys who practice here. It is absolutely unacceptable that only 1.98% of the attorneys practicing in the Sacramento area are Black. It is equally unacceptable that only 3.23% of the attorneys in this area are Hispanic, especially in light of the fact that California's Hispanic population is one of the highest in the

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[17] *1980 Census of Population, supra, SMSA's for Urbanized Areas.*

[18] *1980 Census of the Population, General Population Characteristics--California*

[19] *1980 Census of the Population, SMSA's for Urbanized Areas*

[20] *Id.*

United States. To allow the State more fully to serve its minority population, and to assure a more diverse and representative bar, it is essential to encourage students representing these minority groups in the legal education process to enter the practicing bar of California.

Hispanic and Black students remain grossly underrepresented in law schools nationwide, despite the pressing need for the bar to reflect our national diversity.[21] The percentage of minority students in law school is painfully small. In 1989, national law school enrollment totaled 129,698.[22] For the 1989-90 academic year, enrollment of Black students was 6,791 (5.24%); Mexican-American students numbered 1,663 (1.28%); and other Hispanic-Americans accounted for 2,580 (1.99%).[23] It is important to note that during 1988, Blacks and Hispanics represented 12.3% and 8.1%, respectively, of the American population. Thus, while the Black and Hispanic populations nationally have increased dramatically, current enrollment in legal education programs promises little cognizable gain toward equity for these minority groups.[24] As the minority population grows at an increasing rate, the need for minority representation in the bar increases proportionately.

These figures take on more meaning when examined in terms of the ratio of lawyers to the population as a whole, both majority and minority.[25] The ratio of attorneys to the total population in the United States was 1 to 340 in 1988; for Blacks this ratio was 1 to 2,094; for Hispanics, 1 to 1,441. It is lawyers to the population as a whole, both majority and minority.[33] The ratio of attorneys to the total population in the United States was 1 to 340 in 1989; for Blacks this ratio was 1 to 5,137; for Hispanics, 1 to 3,544. It is therefore clear that increased diversity in the legal profession is needed on the national level, not only for the purposes of ensuring adequate representation by each minority group, but for the good of the profession as a whole.

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[21] *See generally* G. Jaffin, *Minority Quotas in Law and Medicine* (1977) and W. Leonard, *Black Lawyer* (1977).

[22] A.B.A. Section on Legal Education and Admissions to the Bar, *A Review of Legal Education in the United States, Fall, 1989* ("*Review of Legal Education*") (Chicago, A.B.A.), p. 65.

[23] *Review of Legal Education*, p. 67.

[24] Cf. 8.5% representation in legal education to 20% of the population at large.

[25] *Statistical Abstracts*, 1990. (But note that no inference should be drawn suggesting that Blacks, for example, should be represented only by Black lawyers or Whites by Whites, for that matter. Rather, given the significant public roles that lawyers play in our society (e.g., as officers of the courts, as judges and as government officials), the profession should reflect the diversity of the population. Further, if equity is ever going to be approached, the existence of role-models for minority youth must be deemed to be of substantial importance. The alternative--one that we have reason to fear--is the heritage of an aristocracy of monochromatic lawyers, judges and public functionaries.)

(H) THE QUALITY OF THE ACADEMIC PROGRAM AT McGEORGE SCHOOL OF LAW

Any adequate summary of the academic program at UOP-McGeorge School of Law would be too lengthy for this application; hence, in its stead, readers are directed to the current McGeorge *Catalog* (Appendix 2), which contains a summary of programs, most specifically on Pages 33 and 1 through 8.

The required curriculum for the three-year program of legal education leading to the Juris Doctor Degree is attached to this application as Appendix 13. The electives offered during the 1990-91 academic year, including those required for graduation, are listed in Appendix 14. Appendix 15 lists the substantial clinical offerings at McGeorge School of Law. Through this neat blend of the required, the elective and clinical realities, McGeorge is steadily building its reputation as one of the leaders in national legal education.

Perhaps the best evidence of this is the ability of McGeorge graduates to gain admission to practice and subsequent employment as discussed above in Section (E).

The most prestigious and exclusive organization in the American community of legal education, its Phi Beta Kappa, is the Order of the Coif. The English Order of the Coif was the most ancient and one of the most honored institutions of the Common Law. It is thought by some to have antedated the Norman Conquest; in any event, it was more ancient than Westminster Hall or the oldest of the English courts in which the Common Law of England, as we know it, was fashioned. It was an association of lawyers, never large in number, from whose members exclusively the Judges of the Court of Common Pleas were appointed, and who for centuries had the sole right to appear as barristers in that Court.

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[33] *Statistical Abstracts*, 1990. [But note that no inference should be drawn suggesting that Blacks, for example, should be represented only by Black lawyers or Whites by Whites, for that matter. Rather, given the significant public roles that lawyers play in our society (e.g., as officers of the courts, as judges and as government officials), the profession should reflect the diversity of the population. Further, if equity is ever going to be approached, the existence of role-models for minority youth must be deemed to be of substantial importance. The alternative--one that we have reason to fear--is the heritage of an aristocracy of monochromatic lawyers, judges and public functionaries.]

The American Order of the Coif is the outgrowth of an earlier society known as Theta Kappa Nu. This society was founded at the University of Illinois in 1902 for the purpose of promoting scholarship among American law students. Election of law students to the Order is restricted to those schools with chapters of the Order and to the ten percent of each senior class who have attained highest academic rank. Only 73 of the 175 American law schools approved by the American Bar Association have chapters of the Order. During January of 1982, the Executive Committee of the Order approved the application for the granting of a Chapter in the Order to the University of the Pacific, McGeorge School of Law. That approval was ratified by a unanimous vote of the then extant Chapters.

Jerone English, one of the first G*POP Fellows, was inducted into the Order, as was Genaro Ramirez, a 1986 graduate of the McGeorge Patricia Roberts Harris Fellowship Program. Two of eighteen alumni of the PRH Program to have been elected to Coif speaks very highly of the Program's level of success at McGeorge.

While there is no official rating or ranking of American law schools that is sanctioned by their accrediting agencies, *The Gourman Report*[36], rates the McGeorge program 4.25 on a 5-point scale "strong") and ranks McGeorge 36th out of 174 institutions. The School of Law is undertaking, at this writing, the arduous task of preparing a comprehensive self-study in anticipation of its seven-year sabbatical inspection for re-accreditation by the A.B.A. and the A.A.L.S. Our self-study team will scrutinize every aspect of the educational program to assure that we maintain our standard of excellence in the pursuit of our mission, a summary of which is printed on the inside cover of our *Catalog* (Appendix 2).

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[36] Dr. Frank Gourman (fifth rev. ed., Los Angeles: National Educational Standards, 1989).

(I) QUALITY OF KEY FACULTY

The McGeorge School of Law faculty has grown significantly in numbers, depth and variety of experience since 1967-68, the first academic year in which the School of Law faculty instructed both a full-time day and part-time evening curriculum. Recruitment and selection of highly qualified faculty members have contributed significantly to that growth. The faculty has increased in size from nine full-time and sixteen adjunct members in the fall of 1969 to 61 full-time and 33 adjunct professors in the spring of 1990. Thus, over the past twenty academic years, the full-time faculty has increased by over 500 percent while the student body has increased by only 125 percent.

Eighteen members of the full-time faculty hold membership in the Order of the Coif and, of course, the awarding of a Chapter in the Order is the highest possible accolade of a law faculty as a whole. During the past few academic years, three professors have received particularly distinguished honors:

> **Claude D. Rohwer** was recognized by the all-university faculty with the University of the Pacific Distinguished Faculty Award. This Award is based upon teaching effectiveness, scholarly and professional achievements and contributions to the University Community.
>
> **Stephen C. McCaffrey** was elected by the General Assembly of the United Nations in 1981 as the United States member of the United Nations International Law Commission (ILC). Professor McCaffrey was nominated as the U.S. candidate by President Ronald Reagan and Secretary of State Alexander Haig. The ILC is a 34-member group of experts in international law which drafts treaties on topics referred to it by the U.N. General Assembly. The Commission meets three months a year (May through July) at the United Nations Headquarters in Geneva, Switzerland. Professor McCaffrey was elected for a five-year term, which he serves during those summer months for which he has no teaching assignments. Not only was Professor McCaffrey appointed to a second five-year term, but he was also elected as the Chairman of the ILC during a period that the international press has touted as the most productive ever in the history of the Commission.
>
> **Mr. Justice Anthony M. Kennedy**, a former Judge of the U.S. Court of Appeal for the Ninth Circuit, has taught the required course in Constitutional Law as an adjunct member of the McGeorge Faculty for over two decades. Professor Kennedy was nominated by President Ronald Reagan and confirmed by the U.S. Senate as an Associate Justice of the Supreme Court of the United States. Justice Kennedy continues to teach for McGeorge during our Summer Sessions, when the Court is in recess.

Four additional members of the faculty are especially key to the PR Harris Program by virtue of their involvement with minority affairs at the School of Law:

> **Brian Landsberg and John E. B. Myers**, both Professors of Law, are the Faculty Co-advisors to the Minority Academic Assistance Program. Professor Landsberg is a retired Chief of the Civil Rights Branch of the U. S. Department of Justice, who has published extensively in the areas of constitutional law and civil rights. Professor Myers, who also has practice experience with the Department of Justice, is the former Director of the Legal Center for the Handicapped of Salt Lake City. His scholarship, which is manifested in several books and dozens of articles, focuses upon the rights of children, especially the abused. Professor Landsberg chairs the Faculty Committee on Minority Affairs, and Professor Myers is the Faculty Advisor to our Asian-American Law Students Association

Robie Morris, Professor of Law, is the Faculty Advisor to our Black Law Students Association. As a Black woman, Professor Morris is especially sensitive to the need for acclimatisation of minority students to the law school environment. She has also written on issues of ethnicity, most recently "Racial Inequality in American Cities: An Interdisciplinary Approach," which appears in Volume Two of the Tulane edition of the *National Black Law Journal*.

Kojo Yelpaala is a Professor of Law. A native and member of the Bar of Ghana, he joined the McGeorge faculty in 1981 after earning the Doctor of Juridical Science Degree from the University of Wisconsin. Though not a member of the Minority Affairs Committee, Professor Yelpaala has made substantial contributions to the Minority Academic Assistance Program. Having volunteered several times to conduct term-end review sessions, he is this year developing a pilot program of weekly skills-development sessions. Using first-year and second-year members of the Black Law Students Association as his test group, Professor Yelpaala is helping students to refine their strategies of analysis and synthesis of case law. His initial presentation of this proposed new aspect of the MAAP Program was well received by the Committee.

The strength and diversity of the backgrounds of the 61 full-time members of the faculty is indicated by diversity of teaching roles, achievement of advanced degrees, bar admissions and experience. Thirty-five are full professors, four are associate professors, two hold the rank of assistant professor, one is a scholar in residence and seven are lecturers in law or instructors. The clinical faculty consists of three clinical professors, one associate clinical professor, and two clinical staff attorneys. The faculty collectively holds 50 bachelor degrees from 37 different universities. It holds 60 first professional degrees in law from 28 different law schools, as well as 24 masters and doctoral law degrees from 16 schools. It holds 72 bar admissions from 28 jurisdictions. The average age is approximately 46. Members of the faculty, on average, have had 15 years of teaching experience and 12 years of experience in law practice since obtaining their first law degrees. The faculty is more fully described on Pages 44 through 62 of the *Catalog* (Appendix 2).

Each year, the Academic Vice President of the University solicits from the faculty a summary of their publications, speaking engagements, public service activities and participation in professional organisations for the year just past. A summary of the 1991 submission of the law faculty is attached hereto as Appendix 17.

During 1988, we received a site visit concerning the PRH and one other program sponsored under Title IX from the U.S. Department of Education. Our Program was adjudged to be in full compliance by William L. Garrison, Regional Representative for Higher Education Programs of the U.S. Department of Education.

7) ADEQUACY OF RESOURCES

The relationship between the University of the Pacific and McGeorge School of Law provides that all funds generated from the School of Law through any means--including tuition, grants, gifts and bequests--will be used only for the support and benefit of the School of Law. Surplus funds not needed for operational expenses are thus placed in general reserves at the law school. All law school funds are deposited in Sacramento. That arrangement further provides that the University of the Pacific may not use law school surplus funds for general University purposes. Rather, the University is obligated to support law school programs from the general University funds in the event the School of Law, from all sources, should not generate sufficient funds for its operating expenses to maintain a law program sufficient to merit full approval by the American Bar Association. This generous agreement on the part of the University of the Pacific guarantees the School of Law adequate resources for the continuation and constant improvement of a superior academic program.

Fifty miles distant from the University's main campus in Stockton, the McGeorge campus is used exclusively for law training. In that regard, the law school has made a conscious effort to provide a comfortable living and learning environment for all those connected with the legal education process here. All buildings on the campus surround a landscaped quadrangle. The 26 buildings contain 20 classrooms, varying from auditorium to seminar room size, administrative and business offices, 64 faculty offices, clinical law offices, research facilities. student housing, parking areas, lounges, recreational facilities and a swimming pool, in addition to the law library complex, which includes a state-of-the-art computer skills center (the "LawLab"). The Law Library currently houses over 325,000 volume-equivalents of legal materials in both book and non-book form.

The law school campus occupies 21 acres. Its buildings, which contain over 300,000 square feet of floor space, are climate-controlled and carpeted throughout to provide an atmosphere conducive to professional study and performance. The facilities of the School of Law are further described on Pages

17 through 22 of the McGeorge Catalog, which is attached to this application as Appendix 2. The campus has been recognized as one of the finest in the nation, and the nationally-acclaimed "Courtroom of the Future" has proven itself a major contribution to courtroom design.

(K) SPECIAL ORIENTATIONS AND EXPERIENCES

Because of the formidable support structures of the School of Law, including, but not limited to, academic counseling, personal counseling, writing workshops, clinical programs, internships, externships and minority academic assistance, there is not a great deal that could be provided for Patricia Roberts Harris Fellows that is not already provided by McGeorge for *all minority and educationally disadvantaged students*. Nevertheless, as stated in Section (D), the Institutional Director bears primary responsibility for overseeing the Program here. A significant aspect of this responsibility is the provision of personal guidance. At the very outset of the academic year, the new and continuing PRH Fellows meet with the Institutional Director. During that meeting, the Director and advanced Fellows stress the importance of daily diligence in the processes of legal education in the context of providing a special orientation for the new Fellows. Activities undertaken during, and the frequency of, the continuous meetings between the Director and the Fellows are fully described in Section (D). It is probably worth mentioning again, however, that the Institutional Director makes himself available to the Fellows at virtually any time of any day.

Luncheons, for example, have been held during which subjects for conversation included casual discussion of progress, arrangements made for living quarters and transportation, and plans for the future. Special assistance has been extended to PRH Fellows in the obtaining of appropriate summer clerkships. For example, the Institutional Director, with the assistance of the Dean of the School of Law, helped one of the Fellows in obtaining a Summer internship with the Honorable Stanley Mosk of the California Supreme Court. More recently, the Director and the Dean assured a Summer Clerkship for Mr. Carlos Chavarria, the former policeman, with the public agency of choice, the California District

Attorney. During the summer of 1985, Genaro Ramirez was provided an externship with Justice Cruz Reynoso of the California Supreme Court. During the summer of 1990, several other summer clerkships were arranged (as described in Table No. 1).

Six Fellows--Rosen, Pryce, Vaughns, Mukasa, Thompson and Lopez--attended McGeorge's European Summer Session in Salzburg, Vienna, and Budapest, supported by institutional scholarship funds.

With the assistance of the Institutional Director the Fellows have also been intimately involved in co-curricular and other activities at the School of Law. Four of the Fellows have served as coordinators of the Minority Tutorial Program; another served as the Chairman of the Moot Court Honors Board and still another as a member of that Board. PRH Fellows have also been active and served as officers in both the Black Law Students Association and Latino Law Students Association on campus. Despite a long waiting list, the Director has been able to provide on-campus housing for all of the PRH Fellows who wish it.

McGeorge's is not a dual-track program. It is made clear to all the Fellows at the outset of their legal education that should they have any needs for special assistance, those needs should be brought promptly to the attention of the Institutional Director.

Again, the demonstrated success of the Fellows provides the best measure of orientations and experiences provided for them and for the success of the overall Program.

(L) MECHANISM FOR THE DEMONSTRATION OF FINANCIAL NEED

Should the School of Law receive Patricia Roberts Harris Fellowships to begin during the 1991-92 academic year, it plans to use the standard "GAPSFAS" form for the analysis of the students' financial need. One exception to the formula used by the Graduate and Professional School Financial Aid Service is contemplated, and that is to accept an Affidavit of Non-support from the parents of a prospective Fellow, if warranted. Financial need will be computed according to the standard form produced by the School of Law, entitled "Maximum Educational

Allowances," which is attached to this application as Appendix 16.

(M) CONCLUSIONS

The School of Law rests content that its past actions have demonstrated the precise kinds of commitment that are sought by the PRH-stated criteria. That commitment has been objectively manifested by:

(1) The recruitment efforts of McGeorge School of Law;

(2) Its admissions procedures, and, more particularly, the role of the Minority Affairs Committee;

(3) Its programs of academic assistance: individual counseling, minority academic assistance, and writing workshops;

(4) The history of academic success, subsequent bar admission, and placement in industry, the bar and the bench of members of underrepresented groups in the profession;

(5) The commitment and authority of the PRH Institutional Director and the vigorous role that he plays in the Program; and

(6) The fine record that the PRH Fellows at McGeorge School of Law have achieved thus far on bar examinations and in practice.

Given these features, then, we respectfully urge that the Secretary give most careful consideration to this application for the continuation of five (5) Patricia Roberts Harris Fellowships in progress and award of ten (10) additional Fellowships.

We thank you for your consideration.

UOP McGeorge School of Law Application to Participate in the Patricia Roberts Harris Fellowship Program

Spring, 1990-91

SELECTIONS FROM THE

APPENDIX

Robert A. Chaim
Institutional Director

McGeorge School of Law
University of the Pacific
3200 FIFTH AVENUE · SACRAMENTO, CALIFORNIA 95817

TABLE OF APPENDICES

*1. Gordon D. Schaber, Dean, Memorandum, "Task Force on Minority Affairs" (February, 1973)

2. 1990-91 *McGeorge School of Law Catalog*

3. [1983] *Guidelines* for the Minority Academic Assistance Program

*4. *Guidelines* for the Minority Academic Assistance Program Approved by the Faculty 3/1/91

*5. Minority Academic Assistance Program Schedule, Winter Quarter, 1990-91

*6. "Pre-Law Summer Program" Pamphlet

*7. "Opportunities for Minority Students" Pamphlet

8. Colleges and Universities Visited by McGeorge School of Law during 1980-90 Academic Years

9. Colleges and Universities Visited by McGeorge School of Law for Minority Recruitment

*10. "Federally-Funded Fellowships at McGeorge School of Law" Information Sheet

*11. "Graduate Fellowships for Minorities in Law" Poster

*12. Curriculum *Vitae* of Patricia Roberts Harris Fellowship Program Director

13. Required Curriculum at McGeorge School of Law

14. Elective Offerings at McGeorge School of Law

15. Clinical Programs at McGeorge School of Law

16. McGeorge "Maximum Educational Allowance" Table

17. Scholarly Activity of the Faculty of McGeorge School of Law

*18A. Robert Chaim, "Draft Letter of Comment in Opposition to 'Notice of Proposed Priority' to the U.S. Department of Education," October 1990

*18B. AALS/ABA/LSAC Joint Task Force, "Letter of Comment in Opposition to 'Notice of Proposed Priority' to the U.S. Department of Education," October 23, 1990

*SELECTIONS INCLUDED

McGEORGE SCHOOL OF LAW

UNIVERSITY OF THE PACIFIC 3200 Fifth Avenue, Sacramento, California 95817

TO: McGEORGE SCHOOL OF LAW FACULTY, STUDENTS,
ADMINISTRATION AND INTERESTED PARTIES

FROM: GORDON D. SCHABER, DEAN RE: TASK FORCE ON MINORITY AFFAIRS

DATE: FEBRUARY, 1973

On September 13, 1972, I prepared a 49 page report and historical background on the subject of minority affairs at the McGeorge School of Law and established a task force with the instruction that "THE TASK FORCE WILL OPERATE WITH THE ASSUMPTION THAT THE McGEORGE SCHOOL OF LAW AND THE UNIVERSITY OF THE PACIFIC DO NOT CONTEMPLATE ANY REDUCTIONS IN THE TOTAL COMMITMENT TO AN EDUCATIONAL PROGRAM FOR MINORITY STUDENTS." I indicated, however, that the time had come for a re-evaluation of our entire minority affairs program.

The charge to the Task Force was to survey the existing program and to make recommendations concerning the future handling of recruitment, admissions, advancement, educational programs and financial assistance. The Task Force was to include faculty members, administrators, alumni representatives of minority interests and the highest scholastic ranking student from each of the minority groups now enrolled.

It was my purpose to invite all segments to become interested in a vital minority affairs program to promote a better and more effective program to train young men and women to enable minority communities, long without adequate representation, to have effective lawyers return to those communities and to give equality of justice to the members thereof.

In the interim, the tutorial programs, admission, scholarship, financial aid, recruiting and recognition of minority groups as on-campus organizations was temporarily reassigned to existing administrative staff and administrative-faculty committees.

The Task Force was composed of the following faculty members: Claude Rohwer, as Chairman, John Lewis, John Ryan, Don Berger, Donald Prins, and Donald Carper. Dennis Warren, President of the Student Bar Association, served as a member.

The Alumni were represented by attorneys Clarence Brown, Thomas Shigemoto and Judge Edward Garcia of the Sacramento Municipal Court.

The student members were Daniel Martinez, Larry Bohana and Tosh Yamamoto.

The final report of the Minority Task Force is attached hereto dated February 2, 1973.

I am sure that all of us are grateful for the long hours of thoughtful deliberation by the members of this Task Force. I intend to discuss the report specifically with the faculty at a regularly scheduled meeting and, subject to considerations received there and from other interested parties, I think the report should be adopted as a policy for the future. This will require constituting a new Minority Affairs Task Force and proceeding with the urgent and vital task of increasing the flow into practice of law of attorneys who are identified with and will hopefully serve and provide leadership and encouragement to minority groups in the general population which may now suffer from the lack of legal representation within their ranks.

MINORITY AFFAIRS TASK FORCE REPORT
FEBRUARY 2, 1973

The following recommendations are submitted by the Task Force on Minority Affairs. Except where specifically noted, these recommendations represent the unanimous opinion of the members of the Task Force, each of whom has had the opportunity to review this report.

I

MINORITY AFFAIRS COMMITTEE

The school should create a new Minority Affairs Committee. This committee shall make a determination, based upon the guidelines set forth herein, as to the minority status of all applicants and enrolled students who seek to be identified as minority students for purposes of admission, financial aid, tutorial assistance, and/or participation in selection of Minority Affairs representatives. It shall also make decisions on applications for admission from persons who are identified as minority students. It shall not have any involvement in the allocation of financial assistance to minority students other than designating which individuals are properly identified as minorities.

This committee shall be composed of seven (7) members consisting of four persons selected by the Dean from the faculty or administration and one student from each of the following three minority student groups: (1) Blacks; (2) Chicanos and Native Americans; and (3) Asians. All minority students enrolled in the school shall have the opportunity to vote by secret ballot in May of each year to select the student representative from his group for the following academic year. Such selections shall not be made by any student organization or organizations

The persons serving on this committee must be impressed with the confidential nature of the information the committee will review.

II

ADMISSIONS

The Task Force reviewed the present basis for decision on admissions of minority applicants to the school. It was concluded that there should be no significant change made in the approach being used. It is understood that this involves giving consideration to the grade point, LSAT, background and maturity of each applicant and admitting all who appear to have a reasonably good chance of survival in this school. The Task Force concluded that the academically weaker applicants should continue to be admitted only for the evening program or a similarly limited four year program. While consideration should be given to factors which could be expected to contribute to a mediocre undergraduate grade point or LSAT, special admission consideration should not be denied because an applicant's background was not economically or educationally deprived or because he had not expressed a desire to practice where he would be of direct service to his ethnic group.

Dan Martinez presented the view of a number of Chicano students that minority admissions should be limited to highly qualified students in order to reduce the attrition rate of minority students in the school. It was concluded that this would result in admitting only students who would have been afforded an opportunity to obtain a legal education in any event and would defeat our purpose of providing an opportunity to students who might not be able to obtain a good legal education elsewhere. It was unanimously concluded that the school should continue to accept the higher risk applicants. Clarence Brown noted that he was not impressed with attrition statistics but wanted to give people an opportunity to demonstrate their motivation.

III

FINANCIAL AID

The allocation of financial aid to minority students should be handled by the Scholarship Committee without any student participation. The eligibility of minority students for assistance should be determined solely on the basis of need and the need criteria should be the same as that used in the general scholarship and financial aids program. Don Carper explained the new methods which will be used to determine financial aid and made it clear that this may result in a determination that an individual student's need may not be as great as he himself estimated. It was agreed that this is the way the program should operate. The Task Force also agreed with the Scholarship Committee philosophy that a student will be expected to utilize available loans from the loan program in addition to or in lieu of scholarship assistance.

The Scholarship Committee shall be guided by the determinations of the Minority Affairs Committee with regard to which students are classified as minority students. In the event funds are inadequate, the Scholarship Committee shall grant tuition assistance as needed to students who are beyond the first year and shall thereafter allocate the remaining funds to entering students in proportion to their need.

With the expansion of the categories of students who would be eligible for minority scholarships if this report is adopted (expanded to include Asians and non-Chicano Latin-Americans), the Task Force urges that the total amount of scholarship aid for minority students be increased so that those students in the existing program do not suffer an overall reduction of available aid. Larry Bohana expressed his concern that first year aid could be reduced to token amounts. Judge Garcia noted that there is a definite need for all minority students to be willing to work together and share if sharing is necessary. It is not the recommendation of the Task Force that such increased aid be a condition precedent to expanding the definition of minority students.

The Task Force was strongly opposed to any change in the rule that denies financial assistance to students for repeat work.

There was considerable discussion of the prospect of using additional financial aid to attract and/or retain very highly qualified minority students to the school. There was considerable sentiment in favor of giving higher aid than would otherwise be available to highly qualified students who might otherwise be attracted to other schools. It was noted, for instance, that numerous benefits could result from having minority students who would write for law review or other publications.

The Task Force concluded that the available funds designated for minority student aid should not be depleted by giving additional aid to students who might fall into this category. If special aid is to be provided for very highly qualified minority students, it should not come from the regular minority aid fund at the expense of students with demonstrated need. It was also noted that students who have to be talked into going to law school may not have the motivational drive to suceed.

IV

IDENTIFICATION OF MINORITY STUDENTS

The following groups shall be included in the category of minority students:

A. Chicano and Native American (including Mexican-Americans, other Latin Americans, American Indians and Eskimos)

B. Blacks

C. Asians (including Chinese, Japanese, Koreans, Taiwanese, Philippinos, and Polynesians)

The question of identity of individual students or applicants shall be made by the Minority Affairs Committee on a case by case basis.

V

ACADEMIC STANDARDS

There should be no change in the existing rules which deny preferential advancement to minority students. The Task Force was strongly opposed to any "two-track" system whereby minority students might have different course requirements, different grading systems, different advancement standards or different graduation requirements.

Larry Bohans noted that minority students often have great difficulty expressing themselves. It was determined that this is a problem which afflicts many students and that the answer lies in greater emphasis upon developing writing skills.

The Task Force reviewed the existing system whereby the Grading and Advancement Committee grants some students the right to repeat where it is determined that the student had serious problems which prevented him from doing satisfactory work and where it appears that he will likely succeed if allowed to repeat. It was noted that a larger percentage of minority students have been allowed to repeat than is the case with non-minorities because of a number of factors incidence of outside interference with school work which has been experienced by minority students, and the fact that a number of minority students are academically less prepared for law school and therefore do not respond to or comprehend law school study as quickly as most non-minority students. It was noted that minority students do not and should not have the opportunity to repeat as a matter of right and that in their case as with all students, the decision should be based on the individual case.

It is recommended that the existing policy regarding repeat work be continued. Judge Garcia felt that the opportunity to repeat should be generally available to minority students so long as it did not involve financial assistance for repeat work. The entire Task Force agreed that there was no basis for allowing repeat work where a student had demonstrated himself to be unable to perform to the standards of the school.

Don Carper explained that tutorial assistance had been expanded to include certain second year courses. This generated considerable discussion. Members of the Task Force expressed concern that tutorial assistance easily degenerated into spoon feeding with the likely result that the student did not do his own work and suffered as a result. Student and faculty members of the Task Force feel most failures among minority students result from lack of studying.

It was concluded that the first year tutoring should be continued with consideration being given to including or expanding training in written expression. It was also concluded that there should be no tutorial assistance beyond the courses required in first year day with the possible exception of Constitutional Law. As to Constitutional Law, the members of the Task Force were divided.

VI

RECRUITING

The Task Force examined past activities in the area of recruiting minority students. The alumni members of the Task Force expressed serious reservations concerning the time which minority students have expended in this area questioning how they could succeed in law school with such competing activities. The effectiveness of past student recruiting efforts was also questioned by a number of Task Force members.

Clarence Brown noted that the school has been overlooking a great pool of recruiters in the minority attorneys of the state. He stated that there were a number of college students and others who sought his advice on law school and that he felt this was a common experience for minority professionals. The members concurred in his suggestion that minority attorneys in our area and throughout the state be apprised of our program and encouraged to direct students to us.

It is recommended that minority recruiting should be planned and organized by the administrati as a part of its normal recruiting activities. Emphasis on minority recruiting should be give to Northern California campuses with additional emphasis upon recruiting members of minority groups who are out of school and working in the Northern California area. A minority student or minority graduate should accompany the school recruiters when possible to Northern California campuses which have substantial minority student populations. Students on the Task Force felt that while a minority alumni could help, there is a real need for minority students in recruiting.

The names and addresses of minority students contacted by the school should be supplied to minority student groups at the school so that they may follow up on these contacts if they wis

VII

STUDENT ORGANIZATION STRUCTURE

The structure of minority student organizations or even the existence of such organizations is not essential to the implementation of the recommendations of the Task Force. Accordingly, no recommendations regarding such organizations are made. It was assumed by the Task Force that minority student organizations would be recognized in the future when they qualify for such recognition under the procedures which are being established for recognition of all student groups.

VIII

PUBLIC RELATIONS WITHIN STUDENT BODY

There was considerable discussion of the attitudes and opinions of non-minority students and others in the school with respect to the minority program. It was noted by Dennis Warren that there was a great deal of misinformation and misunderstanding in the student body as a whole concerning minority affairs and that this produced a bad situation.

The Task Force recommends that existing activities of the minority program and proposed changes which are recommended herein should be widely disseminated in the school and that discussion and suggestions should be encouraged from all concerned persons.

IX

PURPOSES AND AIMS OF MINORITY PROGRAM

In many of its decisions, particularly the definition of minorities who would be serviced by this program, the Task Force faced the question of the purposes and goals of the minority program at McGeorge. It was the feeling of the members that the primary purpose should be to increase the flow into the practice of law of attorneys who are identified with and will hopefully serve and/or provide leadership and encouragement to minority groups in the general population which now suffer from the lack of legal representation within their ranks. By distinction, the purpose of the program is not to provide opportunities or assistance to individual students in an attempt to compensate for the deprivations which they may have suffered in the past.

With these thoughts in mind, Asians were included in the program not because the typical Asian in our society is necessarily culturally deprived, but because the Asian community needs more legal representation in its own ranks than is currently available.

Special admission should therefore not be denied to a minority student who comes from an "advantaged" background. This individual can still help fulfill the goal of having more attorneys from his ethnic group.

The Task Force feels that second rate legal education would not only fail to fulfill the goals of the program, but would be inimical to those goals. The minority communities do not need weak attorneys; they do not need law school graduates who cannot meet the standards for admission to practice. Giving degrees to those who are not adequately prepared to enter practice and serve their clients in a competent manner is to be avoided. For these reasons every precaution must be exercised to make certain that there is neither a de jur nor a de facto lessening of academic standards or requirements for minority students.

APPENDIX 4

GUIDELINES FOR THE MINORITY ACADEMIC ASSISTANCE PROGRAM AT UNIVERSITY OF THE PACIFIC McGEORGE SCHOOL OF LAW

I PROGRAM GOALS

The goals and objectives of the Minority Academic Assistance Program (hereinafter MAAP) shall be:

A Preventing or ameliorating isolation and the effects of isolation of minority law students through such means as the provision of academic assistance.

B. Supporting and assisting appropriate student organizations in acclimatizing minority students at McGeorge.

C. Providing academic assistance as a means of eradicating the effects of past educational disadvantage of some law students.

II PEDAGOGICAL APPROACHES

The strategies of MAAP shall be to provide eligible students on a regular basis throughout the school year with academic counseling and information which shall include but not be limited to:

A. Methods of preparing for classroom participation;

B. Outlining and study techniques;

C. Effective analysis of legal problems and examination writing.

Toward accomplishing these purposes, MAAP shall actively seek input from and maintain a relationship with the chartered ethnic minority organizations in order effectively to meet the academic needs of their respective members.

III ELIGIBILITY REQUIREMENTS

A. Student Participants

Students who participate in the MAAP shall either be:

1. Students who are members of an ethnic minority group (as defined by the American Bar Association) without reference to entering credentials or grades,

(a) Who voluntarily request academic assistance, or

(b) Who are the recipients of outreach after first quarter (semester) grades, or at other times, to receive additional academic assistance indicated by a demonstrated need for further assistance; or,

2. Students who are educationally-disadvantaged as determined by a review of the student's academic record.

B. Academic Assistants

Student Academic Assistants will be appointed by the Director on the basis of:

1. Demonstrated academic prowess;
2. Commitment to the goals of MAAP;
3. Teaching ability, and
4. Availability to serve as either a Session Leader or as a one-on-one tutor, or both.

IV DUTIES OF DIRECTOR, STUDENT COORDINATOR, FACULTY ADVISOR, LEGAL WRITING ASSOCIATE AND SESSION LEADERS

A. Director

1. The Director, who is appointed by the Dean, is responsible for all aspects of the Program, exercises authority necessary to promulgate and sustain the Program within these *Guidelines* annually and reports to the Dean of the School of Law.
2. The Director annually appoints a Student Coordinator.
3. With the assistance of the Legal Writing Associate and the Student Coordinator, the Director:
    a. Schedules academic sessions;
    b. Acquires from the Registrar, modifies and keeps current the master list of students eligible for participation in MAAP, reviews attendance rosters and conducts periodic review of the academic progress of eligible students;

c. Recruits and engages academic session-leaders and faculty-member volunteers to provide the participants with academic assistance in various settings;

d. Authorizes and coordinates supplemental individual assistance when needed;

e. Authorizes compensation to academic assistants and the Student Coordinator at the rate set for faculty research assistants;

f. Conducts evaluations of the program on a regular basis, assembling data solicited from participants, and seeking input from the ethnic, on-campus chartered student organizations;

g. Schedules periodic meetings between the Faculty Advisor, Legal Writing Associate, Student Coordinator and Director, including a planning session no later than the first week of classes each year; and,

h. From time to time, may supplement the program with additional, needed elements.

B. Student Coordinator

1. The Student Coordinator assists the Director and the Legal Writing Associate with all aspects of the administration of the Program.

2. The Student Coordinator has primary responsibility for maintaining a liaison relationship between MAAP and the chartered, ethnic student organizations on the campus.

C. Faculty Advisor

1. In consultation with the Dean of the School of Law, the Associate Dean, the Director and the individual faculty member involved, the Chair of the Minority Affairs Committee shall appoint, each Spring for the subsequent year, one or more members of that Faculty Committee to serve MAAP as Faculty Advisor(s). That Committee member will be relieved by the Chair from certain other Committee responsibilities in light of his or her service to MAAP.

2. Each Faculty Advisor will lend support to the MAAP Program by engaging in one or more of the following activities:

a. Conducting occasional MAAP academic sessions on one or more diverse topics, which may include (but certainly not be limited to): techniques of study and preparation for class, efficient uses of time, strategies for presentation and participation in class, the dynamics of study groups, uses and abuses of study aids, ways to conduct periodic review and summaries of legal subject-matter in preparation for law-school and bar exams, and styles and strategies for taking examinations (essay, multiple-choice and performance);

b. Maintaining office hours for access by MAAP participants--individually and in very small groups--to discuss any of the above;

c. Advising academic session leaders to assist them in their preparation for group sessions; and,

d. Providing planning assistance, feedback and advice to the Director with respect to all aspects of MAAP.

D. Legal Writing Associate

1. Each year, in the context of appointing and assigning the faculty responsible for teaching the McGeorge first-year course in legal writing, given availability of adequate resources, the Associate Dean should designate an individual from that group of faculty members as MAAP Legal Writing Associate. That Writing Associate is granted a certain amount of release-time from regular teaching responsibilities (or fewer students or sections) to devote that time specifically to MAAP. The Legal Writing Associate:

a. Assists the complement of the MAAP staff with planning.

b. Conducts group sessions for first-year students, early during the year, focused upon those skills needed for successful law study (e.g., case-briefing, note-taking, outlining);

c. Maintains sufficient availability for appointment, specifically committed to MAAP, to provide adequate access to its participants for discussion of academic matters of concern; and,

d. Helps to monitor the Program and provides the Director with feedback toward overall evaluation of the Program's effectiveness.

E. Academic Session Leaders

1. Where the session leader is a member of the faculty, the Director or MAAP Coordinator shall organize a schedule for the sessions, after consulting with the faculty member, as to the place and time of the Academic Session. An audiotape version of the session will be available to those eligible participants who cannot attend the scheduled session. Such tapes will also be available to non-minority students who are interested.

2. Where the session leader is a student, that student shall be selected by the Director in consultation with the Student Coordinator.

   a. Each student leader shall be responsible for implementing the purposes of the program. Each student leader will be assigned a class or classes for which the student will be the academic session leader. The responsibilities of the student leader shall be:

      (1) During the Fall Quarter (Semester)

         (a) Meet with faculty members of the class or classes for which student will be leading academic sessions. At this time the student should become familiar with the academic plans of the faculty.

         (b) Meet with the MAAP students in the student leader's assigned class. The purpose of these meetings is to provide MAAP students with academic support. (Review, case-briefing, note-taking and outlining techniques.) Student leaders my also discuss substantive materials with MAAP students and, when necessary, guide MAAP students to faculty member to clarify complicated or unclear substantive areas.

         (c) Student leaders should be available to individuals or small groups to discuss areas presenting specific problems.

(2) During the Winter and Spring Quarters (Spring Semester)

(a) Student leaders shall continue to provide assistance as stated above. Furthermore, the student leader should, when faculty is unavailable, prepare review sessions in which a detailed analysis of a previous quarter's (semester's) exam or exams shall be discussed. This shall be the main focus of the Winter and Spring Quarter's (Spring Semester's) academic sessions.

(b) Student leaders shall meet with faculty members to discuss exams prior to meeting with MAAP students. The purposes of these sessions are to review and develop exam-writing techniques. Therefore, a detailed analysis of the exams is needed.

(3) Each student leader shall be responsible for reporting the number of hours worked within each designated pay period.

V EVALUATION

Evaluations of the MAAP will be periodically undertaken, and the results will be shared with the Faculty Committee on Minority Affairs and the Dean of the School of Law.

Upon Recommendation by the
Faculty Committee on Minority
Affairs, Approved by the
Faculty--March 1, 1991

McGEORGE SCHOOL OF LAW

UNIVERSITY OF THE PACIFIC 3200 Fifth Avenue, Sacramento, California 95817

WRITER'S DIRECT DIAL NUMBER

TO: ALL 1D, 1E, 2D, 2E AND 3E MAAP PARTICIPANTS

cc: Professors Landsberg, Rohwer, Hendrick, Davies, Levine, Miller; D. Wiese; Asst. Dean Chaim

FROM: GINGER ORTIZ, MAAP STUDENT COORDINATOR

DATE: JANUARY 22, 1991 RE: WINTER QUARTER TUTORIALS

Winter Quarter MAAP tutorials will be held on Saturday, January 26; Sunday, January 27; Saturday, February 2; Sunday, February 3; and Monday, February 4. The sessions will generally cover substantive materials covered thus far this quarter. Many session leaders prefer that students come with partial outlines or some study preparation and have questions ready.

Again, it is our hope that all eligible MAAP participants will take advangage of these tutorial sessions, which will be as follows:

Date/Subject	Time	Room	Session Leader
Saturday, Jan. 26			
Constitutional Law All Sections (See att. handout)	10:30 - 12:30	G	Landsberg
Contracts (All Sections)	1:30 - 3:00	G	Rohwer
Sunday, Jan. 27			
Property (All Sections)	3:00 - 5:00	G	Hendrick
Saturday, Feb. 2			
Torts (All Sections)	9:00 - 11:00	G	Davies
Civil Procedure (All Sections)	1:00 - 3:00	G	D. Wiese
Sunday, Feb. 3			
Criminal Law (Miller, Morris-Collin)	1:00 - 3:00	G	Miller
Monday, Feb. 4			
Criminal Law (Levine, Carter)	5:00	G	Levine

APPENDIX 6

PRE-LAW

SUMMER

McGEORGE
SCHOOL OF LAW
UNIVERSITY
OF THE PACIFIC
SACRAMENTO, CALIFORNIA

McGEORGE SCHOOL

PRE-LAW

SUMMER

STUDENTS who undertake the three or more years of study leading to a law degree make substantial intellectual, emotional, and financial commitments. Yet, among the thousands of men and women who each year apply to the nation's law schools, most have only a "grapevine" knowledge of what it means to study law. Similarly, prospective students often have only fragmentary information on the many options available to those who pursue a legal career.

UOP McGeorge School of Law's Summer Pre-Law Program provides an opportunity to sample the law school experience under the tutelage of law school professors on a law school campus. In addition, group sessions and individual contacts with faculty members and law students enable participants to learn more about the profession and the wide variety of jobs that lawyers do.

PRE-LAW

SUMMER

SIX WEEKS: JUNE/JULY
McGEORGE SCHOOL OF LAW
UNIVERSITY OF THE PACIFIC

"Selecting a career is one of the ultimate acts of self-definition. The profession one chooses is not only a statement about oneself but also something of a measure of the direction of one's potential contribution to the life of others . . . To select the right career is to open the door to opportunity on the most exciting of lives and the most joyous of experiences."
– Professor Rennard Strickland
University of Tulsa School of Law

THE SUMMER PRE-LAW PROGRAM provides an opportunity to experience the study of law and gain information about a legal career. During six weeks of broad exposure to law and legal process, students can explore their interests in eventual law school enrollment or intensify already existing determinations to undertake law studies. Most participants are undergraduates; some are graduates considering professional study.

Some students may find they are immediately "taken" with the law school experience. Others may decide that law school and a legal career are not for them. The goal at McGeorge is to help students make more informed career judgments. In an evaluation of the program, one student wrote:

"I was very pleased by the program and thankful for the availability of the professors for student/professor chats. The law school environment in itself was truly a valuable experience. I learned so much just talking to law students in the library that helped me to determine if I want to pursue law school, and I do."

Another student said:

"It's a little overwhelming and different from anything I've done before, but knowing what will be expected in class has certainly changed what I'm going to do with my remaining time in college."

COSTS

Tuition for the Summer Pre-Law Program approximates the per unit cost for Summer Session courses at the University of the Pacific. Included in tuition is optional participation in group sessions and on-campus social activities planned for the Program's students. Coursebooks cost about $50.

Fully furnished studio apartments are available for students who wish on-campus accommodations. Since apartment units are equipped with kitchens and food service is also available at the Student Center, students are free to plan and vary their eating arrangements. Menus at the Student Center are varied, and prices are reasonable.

Total cost for tuition, books, and on-campus housing for the six-week period is in the $1000 - $1300 range. Costs for a particular Summer program are detailed in a separate brochure available in February of each year.

HOUSING

Studio apartments with kitchen and bath facilities are available on-campus for Pre-Law students. Apartments will be furnished with linens, pillows, towels, cooking utensils, dishes, and similar household items. Once-a-week change of linen is provided. Washing, drying, and ironing facilities are available in the building. Of course, all apartments are air-conditioned.

INFORMATION AND APPLICATION REQUESTS

Specific information regarding dates, costs, and faculty is available during February of each year for the next summer's program. Requests should be sent to:

Jane Kelso, Director
Summer Pre-Law Program
UOP McGeorge School of Law
3200 Fifth Avenue
Sacramento, CA 95817

For telephone inquiries, call (916) 739-7105.

Since the Program is designed to give insights that will aid with career decisions, no rigid admission standards have been formulated. However, the number of class spaces is limited so early application is advisable.

OPTIONAL ACTIVITIES

Guidance

Since guidance is a major goal of the Pre-Law Program, afternoon group sessions are scheduled to discuss such topics as law school admission procedures, the Law School Admission Test, financial aid, legal careers, job opportunities, specialization, alternative uses of a legal education, and a variety of socio-legal topics. Individual counseling, assistance with library work, and help with class preparation is available from members of the Pre-Law faculty.

Writing Skills

Students looking toward a legal career are exhorted to master writing skills. Often, however, a student is not sure how to evaluate his or her own skills or how to go about improving them. Professor Robert Chaim of the McGeorge faculty, a Doctor of Arts in Language and Linguistics and an expert in the language of the law, conducts optional afternoon sessions on legal writing and is available to Pre-Law students for diagnostic counseling on writing skills.

LSAT

For those planning to take the summer administration of the Law School Admission Test (LSAT), it might be of interest to note that McGeorge is a test center. Further, several afternoon sessions provide information about and experience with test items for those who plan to take the test at a later time.

Recreation

Although classes, class preparation, and guidance activities make a busy schedule, there is time for relaxing and socializing. The McGeorge campus includes a swimming pool, basketball court, sauna and exercise room, and various other recreational facilities. The Student Center houses a Pub, complete with popcorn and dart board.

For those not familiar with northern California, San Francisco is about 90 miles west of Sacramento, and Lake Tahoe is a similar distance to the east. The Napa Valley, California's wine country, is nearby as is the region known as the Delta. Yosemite is a 3½ hour drive south. Thus, Sacramento, easily accessible by car, bus, or plane, is a convenient center from which to explore other parts of northern California.

THE COURSES

Law schools teach concepts and ways of approaching issues so that future lawyers will be able to deal with the currently unimaginable questions of the twenty-first century. Legal education's distinctive contribution to teaching is the Socratic method with all of its infinite variations, depending upon the styles, approaches, biases, and eccentricities of law school professors. As Professor Strickland wrote in an edition of the Pre-Law Handbook:

"The Socratic method assumes the student is the architect who will build the conceptual structure from the cases and other material. In the laboratory of the student's mind the data must become concept. Thus, the student must flounder and struggle either to bring order to the data or to determine that order does not exist. Students do much of the talking in class, however uninformed, unprepared, or puzzled they may be.

"What does the teacher contribute to this process? The professor can be relied upon to provide the questions – occasionally answers, but always questions."

In an experience paralleling that of beginning law students, Pre-Law students will begin to acquire a new vocabulary and a new way of thinking about facts, issues, problems, and solutions. Reflecting on his six-weeks experience, one student wrote:

"I was amazed at how exciting the legal process is – each case presenting new facts, issues and judges. The material was challenging – especially when I considered whether or not I had a firm grip on it. Most often not!"

Admittedly, six weeks is too short a time to gather the full flavor of a legal education. However, it is sufficient time for a good taste. When asked to comment on the most significant thing learned from classes, one student responded:

"Case synthesis: drawing rules from the facts and issues and applying those rules to hypothetical fact patterns, with the understanding that there is no necessarily right answer to many questions in law."

SCHEDULE OF COURSES: Classes are scheduled during the morning hours, Monday through Friday. Usually, each class session meets for an hour and forty-five minutes.

THE ADVERSARIAL PROCESS: During his provocative series of lectures to beginning law students, Professor Karl N. Llewellyn, a truly great master of law, asked: *"What, then, is this law business about? It is about the fact that our society is honeycombed with disputes. Disputes actual and potential; disputes to be settled and disputes to be prevented; both appealing to law, both making up the business of law."*

The Adversarial Process introduces students to dispute-settling mechanisms within our legal system with emphasis on judicial opinions as reflections of concepts of justice. Beginning with a general over-view of the role, nature, and sources of law in the United States today, students move quickly toward discussion of major legal ideas, legal reasoning, and legal processes characteristic of the adversary system.

OTHER COURSES: While the substantive content of other courses offered during each year's Program varies from summer to summer, the additional courses are structured to provide one traditional class experience and one clinical (i.e., practice skills) experience. Thus, students are introduced to both the theoretical and practical aspects of professional training. A supplementary brochure available in February of each year describes the course offerings for the following summer's Program.

CREDITS

Pre-Law students earn six semester hours of undergraduate credit from the University of the Pacific upon successful completion of the Program. Grades received in the courses are recorded on official University of the Pacific transcripts. Credits may be transferable toward an undergraduate degree at the student's undergraduate institution, and students should check with appropriate college offices and counselors about transfer procedures. Since the courses are undergraduate in nature, credit earned neither qualifies for credit at nor guarantees admission to any law school.

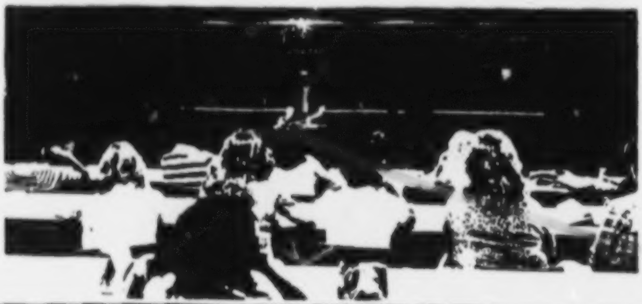
COUNSELING AND OPTIONAL SESSIONS

Individual counseling and afternoon group sessions are an integral part of McGeorge's Summer Pre-Law Program. One recent Pre-Law "graduate" wrote:

> *"The continual contact with faculty members and their obvious willingness to help and give suggestions, guidance, and information about law schools in general was a great resource. I now have some very definite directions about law school, directions I'd lacked previously."*

In addition to individual counseling, group sessions cover such topics as general characteristics of law schools in the United States; the admissions process and preparing applications; financial aid while in law school; career opportunities and job placement. In the opinion of past pre-law students, the optional sessions on legal writing have been an outstanding part of the Program. Also, sessions are scheduled to consider the Law School Admission Test (LSAT) with the opportunity to "take" an LSAT under test conditions. One student noted:

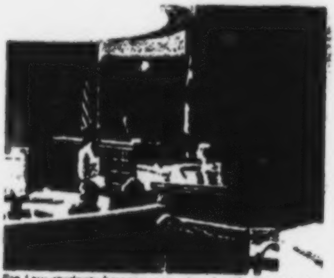
> *"Though I don't find LSAT intriguing, I do appreciate very much my greater awareness of what it will entail, and I think that the LSAT afternoon sessions were an essential and valuable part of the program."*



Students in the Pre-Law Program spend considerable time in the classroom. They spend even more time preparing for classes — studying and "briefing" cases in the Library or preparation areas in the Student Center — discussing cases with classmates around the pool, over lunch, or in study groups.

UOP McGeorge School of Law is located on a 20-acre campus in Sacramento, California. This separate and complete law school campus provides a unique living-and-learning environment. The Student Center has a spacious dining room (shown above), Book Store, recreation area with pool tables and TV plus a Pub.

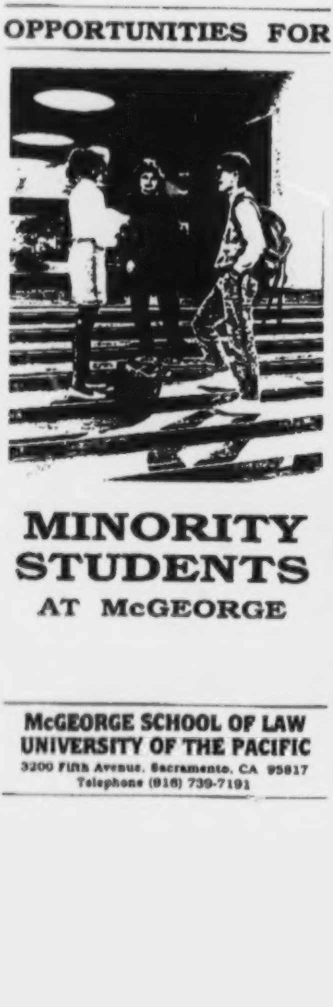
Pre-Law students have personal contact with the Summer Pre-Law Program faculty members to discuss the many aspects of the legal profession. They will also be able to discover other dimensions of legal training by observing the work of the Clinical Programs and the myriad of other activities which make law school an intense, busy, and exciting place.



Pre-Law students become acquainted with the trial of a case, making use of McGeorge's widely acclaimed "Courtroom of the Future." They also see the operations of the "Law Office of the Future" located in the Center for Advanced Study of Law and Policy.

#39-0016 1/89

APPENDIX 7



OPPORTUNITIES FOR

MINORITY STUDENTS
AT McGEORGE

McGEORGE SCHOOL OF LAW
UNIVERSITY OF THE PACIFIC
3200 Fifth Avenue, Sacramento, CA 95817
Telephone (916) 739-7191

At the admission threshold to UOP McGeorge School of Law, all applications from members of minority groups receive close attention and careful evaluation to identify potential for law study at McGeorge. Applications are reviewed initially by the regular Admissions Committee and may be forwarded to the Minority Admissions Advisory Committee for recommendation. That Committee includes in its voting membership representatives from each of our minority student groups.

ACADEMIC ASSISTANCE

Tutorial assistance is available to minority students through McGeorge's Minority Academic Assistance Program (MAAP). This Program features weekly sessions that cover a variety of topics germane to law study. Early during each academic year, initial sessions focus upon methods of briefing cases and preparation for classes. Substantive review sessions provide assistance in organizing and summarizing study materials, and writing workshops help to hone those skills required by law school examinations. The MAAP program is directed by a faculty administrator and coordinated by a senior student assistant. Sessions throughout the year are led by members of the full-time faculty and by advanced students who have excelled in their coursework. Individualized assistance is also extended to minority students who may require additional help.

SCHOLARSHIPS AND FINANCIAL AID

The Faculty Committee on Scholarship and Financial Aid and the Office of Financial Aid administer one of the strongest programs of financial aid among American law schools. Programs include Work Study, Guaranteed Student Loans (GSL), Perkins Loans (formerly NDSL), Supplementary Loans for Students (SLS), and the Law School Access Loan (LAL). For advanced students, McGeorge Academic Achievement Scholarships and Tuition Assistance grants are also available.

Several scholarship programs specifically target minority students. McGeorge's Legal Education Endowment Fund (LEEF) provides several first-year scholarships that are awarded upon recommendation of the Minority Admissions Advisory Committee.

The Patricia Roberts Harris Fellowship Program is federally-funded and provides a number of Fellowships annually to Black- and Hispanic-American students at McGeorge. Harris Fellows currently receive full-tuition scholarships plus generous living stipends, predicated upon need, for each of the three years of legal education.

Each of the three minority student organizations sponsor endowed scholarships for advanced students. In addition, advanced students are eligible to apply to Community Legal Services, McGeorge's on-campus clinical law office, for significant financial support through IOLTA Scholarships.

CO-CURRICULAR & EXTRA-CURRICULAR ACTIVITIES

A roster of 22 chartered student organizations enhances student life at the School of Law. Special-interest organizations range from the Business Law Forum to the Environmental Law Forum to the Pacific International Law Society. McGeorge chapters of the Asian-American Law Students Association, the Black Law Students Association and Latino Law Students Association are among the most active of all student organizations on the campus and are very supportive of their memberships. Each invites direct inquiries from applicants.

Other co-curricular activities include *The Pacific Law Journal*, The *Owens* Project and *The Transnational Lawyer*, all offering opportunities for independent research, writing, editing and publication. Participation in client counseling, mock trial, and moot court competition teams refine oral and written advocacy skills, and McGeorge teams have achieved substantial success in statewide, national and international competitions.

ADMISSION TO PRACTICE & PLACEMENT

Minority graduates of UOP McGeorge School of Law have enjoyed a strong passage rate on the California and other bar examinations. Records of the Office of Career Development confirm that opportunities for legal employment for minority graduates of McGeorge are good. Among recent minority graduates, some are employed in the private sector, in large firms and small; many have undertaken judicial clerkships, from the municipal to the state supreme court level; others have affiliated themselves with industry in such areas as real estate and high technology; and still others have chosen careers in public service in the offices of district attorneys and public defenders. Through activities of their student organizations, minority students make contact with alumni and members of the bench and bar who can provide career guidance.

McGEORGE GRADUATES

Samuel L. Jackson '77D, Deputy City Attorney, Sacramento—"If your objective in attending law school is to become an outstanding and successful practitioner, I know of no better institution in the U.S. than McGeorge at which to undertake your studies."

Anthony M. Oropeza '72D, Attorney at Law—"Under the stewardship of its Dean, Gordon Schaber, McGeorge has embarked on a fine tradition of academic excellence, available to those truly dedicated to their educational pursuit regardless of color, origin, or creed."

Hon. Gary Ransom '74D, Superior Court of Sacramento County — "If your dream is to become a lawyer, you should pursue it. I strongly suggest that you do as I did and attend McGeorge School of Law."

William P. Yee, '78E, Research Attorney, Sacramento Municipal Court District—"The legal education and training I received at McGeorge was well received in the legal community. Of great help was the legal experience I gained at the Office of the Sacramento County Counsel through the Work Study Program."

RESOURCES

For further information, contact:

UOP McGeorge School of Law
3200 Fifth Avenue
Sacramento, CA 95817

Admissions Office
(catalog and application requests)
(916) 739-7105

Minority Recruitment Coordinator and
Patricia Roberts Harris Fellowship Director
Assistant Dean for Students
(916) 739-7177

Office of Financial Aid
(916) 739-7158

Housing Office
(916) 739-7119

Asian-American Law Students Association
c/o Office of Student Services
(916) 739-7137 (messages)

Black Law Students Association
c/o Office of Student Services
(916) 739-7137 (messages)

Latino Law Students Association
c/o Office of Student Services
(916) 739-7137 (messages)

Council on Legal Education Opportunity (CLEO)
1800 M Street, N.W., Suite 290, North Lobby
Washington, D.C. 20036 (202) 785-4840

Law School Admission Council/
Law School Admission Services
(For LSAT applications)
Box 2000 Newtown, PA 18940
(215) 968-1001

APPENDIX 10

McGEORGE SCHOOL OF LAW

UNIVERSITY OF THE PACIFIC 3200 Fifth Avenue, Sacramento, California 95817

WRITER'S DIRECT DIAL NUMBER

FEDERALLY-FUNDED MINORITY FELLOWSHIPS AT McGEORGE
PATRICIA ROBERTS HARRIS FELLOWSHIP PROGRAM

During the summer of 1977, the Department of Health, Education and Welfare announced that Congress had enacted a program designed to increase the flow of underrepresented minorities into graduate and professional schools. It was dubbed the Graduate and Professional Opportunities Program, or G*POP. In 1986 the Program was renamed the Patricia Roberts Harris Fellowship Program.

Under the Harris Program, graduate and professional schools apply for, and, if successful, receive Fellowships that they, in turn, award to minority applicants. Each Fellowship pays the majority of tuition (the balance of which is paid by the school) and a monthly cash stipend that is paid to the Fellow to cover living expenses. Stipends are allocated according to financial need.

McGeorge School of Law has designated its "target groups" to be Hispanic-Americans and Black Americans. It has received a total of twenty-six Fellowships since 1977. Over 90% of those who have graduated have taken and passed the California State Bar examination. All have engaged in the practice of law, and one returned to law school to earn the advanced degree of Master of Laws (LL.M.) in Taxation. Of those currently practicing in California, one is with a very large firm in San Francisco's financial district, another is with a smaller firm in one of the outlying bay counties, and a third has set up a rather successful solo practice in the greater Los Angeles area. One of the Fellows was offered a position with the U.S. Attorney General. Two have served as the Chairman of the McGeorge Moot Court Executive Board, and still another competed with the Philip C. Jessup International Law Moot Court Intramural Team. Three of the Fellows have distinguished themselves by serving Judicial Clerkships: two with the California Supreme Court and another with the U.S. District Court for the Eastern District of California.

The Harris Fellows are funded on a three-year basis, conditioned upon reallocation by Congress and satisfactory academic performance. The Fellows pursue the usual course of study at the University of the Pacific, McGeorge School of Law, in the full-time Day Division, which leads to the Juris Doctor Degree. During the 1990-91 academic year, each Fellow is receiving a stipend of up to $830.00 for each month in residence. Fellows attending summer session receive the stipend on a 12-month basis.

While there is no guarantee that McGeorge will receive new fellowships to award for the 1991-92 academic year, our history of success indicates a strong likelihood that we will. It is estimated that McGeorge will learn of its award for 1991-92 during May of 1991. Students applying for consideration on this contingency basis may have their application fee waived upon request by the Director.

For further information, telephone Robert Chaim, Assistant Dean for Students and Director, Patricia Roberts Harris Fellowship Program, at (916) 739-7177.

(12/19/90)

APPENDIX 11

GRADUATE FELLOWSHIPS FOR MINORITIES IN LAW

AT

UNIVERSITY OF THE PACIFIC

McGEORGE SCHOOL OF LAW

FULL TUITION PLUS STIPEND

FOR FURTHER INFORMATION AND APPLICATIONS, PLEASE CONTACT:

Robert Chaim, Director
Graduate and Professional Opportunity Program
University of the Pacific McGeorge School of Law
3200 Fifth Avenue
Sacramento, California 95817
(916) 739-7117

THE FELLOWSHIPS ARE FUNDED UNDER THE GRADUATE AND PROFESSIONAL OPPORTUNITIES PROGRAM, TITLE IX OF THE HIGHER EDUCATION ACT OF 1966, AS AMENDED. THE PURPOSE OF THE PROGRAM IS TO INCREASE THE NUMBER OF MINORITY STUDENTS INTO THE STUDY AND PRACTICE OF LAW. TARGET GROUPS ARE CHICANOS AND BLACKS.

Appendix 12

ROBERT A. CHAIM

Curriculum Vitae

Office

3200 Fifth Avenue
Sacramento, CA 95817
(916) 739-7177

Home

8690 Elk Ridge Way
Elk Grove, CA 95624
(916) 685-6231

EDUCATION

Doctor of Arts May, 1980	*University of the Pacific*, Graduate School Stockton, California Specialization in linguistics, semiotics, rhetoric, expository writing (Comprehensive exams completed May, 1977)
Teaching Credential, 1971	California Public Secondary Schools *University of the Pacific*, School of Education
Bachelor of Arts Philosophy, 1970	*Sacramento State College* Minor: English

EXPERIENCE

1981-Present

Assistant Dean for Students, McGeorge School of Law

. Affirmative Action Officer	(1981-)
. Minority Recruitment Coordinator	(1979-)
. Institutional Director, Patricia Roberts Harris Fellowship Program	(1978-)
. Member, Minority Affairs Committee	(1978-)
. Director, Minority Academic Assistance Program (MAAP)	(1981-)
. Chair, Ad Hoc Faculty Committee To Revise MAAP	(1989-91)
. Member, Financial Aid Committee	(1980-)
. Member, Honors and Awards Committee	(1980-)
. International Services Officer, INS "Designated School Official" and "Responsible Officer"	(1978-)
. Coordinator, Alcohol and Substance Abuse Programs	(1987-)
. Faculty Advisor, Latino (formerly, La Raza) Law Students Association	(1981-)

1977-Present

Lecturer in the Language of the Law, McGeorge School of Law

- Consultant to individual students: remedial written expression
- Conduct writing workshops and tutorial programs
- "Plain English for Lawyers," a seminar for advanced students offered every semester
- Consultant on plain English to faculty, *Pacific Law Journal*, law firms and governmental agencies

1972-1977

Teaching Assistant, Intern and Instructor
(While an ArtsD. Candidate at University of the Pacific)

- Courses taught independently (with "Instructor" faculty rank)
  - Expository Writing, seven semesters
  - Linguistics, an upper-division grammar theory course required for credential candidates
  - Classical Tragedy

WRITING, EDITING AND PUBLIC SPEAKING

"Lessons for the Unschooled," Review of Good's *Mightier Than the Sword* and Williams' *Style*. 1 *The Scribes Journal of Legal Writing* (1990) 159-165.

"Writers' Reference Shelf: Lawyer, School Thyself," 9 *Prosecutor's Brief*, 12 (Winter 1986).

"Legal Education in the United States of America," chapter in *The Comparative Law Yearbook* (Kluwer, The Netherlands), 1982, a symposium issue devoted to legal education around the world. Reprinted as "Legal Education," chapter in *The U.S. Legal System* (Martinus Nijhoff Publishers, The Hague, 1983). (With Professor Claude D. Rohwer).

"A Model for the Analysis of the Language of Lawyers," 33 *Journal of Legal Education* 120-140 (1983).

"Using Traditional Examinations for Non-traditional Instruction in Reasoning and Writing," Annual Meeting of Section on Legal Research, Reasoning and Writing, Association of American Law Schools (San Antonio, Texas, 1981).

"Handling Student Writing: In the Classroom, the Workshop, and the Office Conference," Legal Writing Workshop, Association of American Law Schools (Louisville, Kentucky, 1980).

Judge, 53rd Annual Multiple District Four, Final Speakers Contest, Lions Club International, Sacramento, June 2, 1990.

Draftsman and *Editor*, miscellaneous law school publications (catalog news-, letters, grant proposals, etc.)

Editor in Chief, Stauffer Legal Research Series (1978-)

MEMBERSHIPS

Board of Advisors, St. Hope Academy [Disadvantaged Youth Organization]	(1990-)
Scholarship Committee, Sacramento Country Day School	(1988)
American Bar Association (Associate)	
Section on Legal Education and Admissions to the Bar	(1978-)
Association of American Law Schools	
Section on Legal Reasoning, Research and Writing	(1977-)
Section on Student Services	(1989-)
Committee To Draft "Statement of Student Services Administrators Good Practices"	(1990-)
Elk Grove Unified School District Curriculum Advisory Committee	(1988-89)
Elk Grove Community Planning Advisory Council	(1986-88)
Vice Chair	(1986-87)
Centro Legal Hispanic Community Service Award Scholarship Committee	(1986-89)
University of San Fernando Curriculum Advisory Committee (Designing a Pre-law Curriculum)	(1979-80)

HONORS

Outstanding Young Men of America	(1983)
Outstanding Service Award, La Raza Law Students Association	(1988)
Meritorious Service Award, Asian-American Law Students Association	(1986, 1987)
Who's Who in the West	(1989-)
Who's Who in the World	(1990-)

PERSONAL

Birth Date - October 25, 1947
Married, no dependents
Interests - tennis, gardening, cabinetmaking

McGEORGE SCHOOL OF LAW

UNIVERSITY OF THE PACIFIC 3200 Fifth Avenue Sacramento, California 95817

WRITER'S DIRECT DIAL NUMBER

(916) 739-7177

DRAFT

October __, 1990

Charles H. Miller, Ph.D.
Office of Postsecondary Education
Division of Higher Education
Incentive Programs
U.S. Department of Education
(Room 3022, ROB-3)
400 Maryland Avenue, SW.
Washington D.C. 20202-5251

Dear Dr. Miller:

We seize this opportunity to offer comment in vigorous opposition to the competitive priority that the Secretary of Education proposes to extend "to those applications for the Patricia Roberts Harris Fellowships Program for Graduate and Professional Study Fellowships [*hereinafter* the "PRH Program"] proposing to award fellowships only to students pursuing a program of study leading to a Ph.D. degree." Our opposition is predicated upon several objections to the "Notice of proposed priority" [FR Doc. 90-22939 Filed 9-27-90], which are articulated and developed below.

1. **THE SECRETARY'S PROPOSED SYSTEM OF COMPETITIVE PRIORITY WOULD CONTRADICT THE LETTER AND THE SPIRIT OF CONGRESSIONAL INTENT AS MANIFESTED UNDER TITLE IX, PART B OF THE HIGHER EDUCATION ACT OF 1965, AS AMENDED.**

Any modification of the PRH Program, made through the administrative, regulatory process which would alter the essential character of the contemplated "target groups," would frustrate Congressional intent. Section 921. (a) Purpose, under Part B of the Higher Education Act, in pertinent part, states:

> "It is the purpose of this part to provide ... grants ... to graduate *and professional* students ..." [20 USC 1134d] [emphasis added].

The Secretary's proposed priority is designed to increase the number of fellowships to students pursuing the Ph.D. While the American community of legal education does not take issue with the proposition that the Ph.D. shortage projected over the next twenty five years is a matter of national concern, we are compelled to point out that such an increase (of awards to Ph.D. candidates) would necessarily diminish the number of awards that might be made available to Juris Doctor (J.D.) candidates with the clear potential of completely precluding J.D. candidates from participation in the Program.

During FY 1990, only 31 of 218 of the new PRH fellowships (or 14.3%) were awarded to J.D. candidates. The award of a five point competitive preference to proposals emanating from Ph.D. applicants has the clear potential of reducing the number of awards to J.D. candidates to zero. While a statistical analysis is obviated by the fact that no summary of the proposal-scoring results has ever been published, the fact that a score of 90 or above was required to receive an award during FY 1990 conveys a fairly clear sense of the impact that the gratuitous award of five additional points would have: this proposed priority has the clear potential of contradicting Congressional intent.

2. THE SECRETARY'S PROPOSED SYSTEM OF COMPETITIVE PRIORITY IS REDUNDANT IN THE CONTEXT OF THE CURRENT REGULATIONS.

Under current regulations, a very specific system for scoring proposals is provided for. On a 100-point scale, ten points each are available for "evidence of underrepresentation" and "evidence of national need" [CFR 649.12 (f) and (g)]. Twenty percent of the proposals is therefore currently adjudged based upon the very criteria that the Secretary proposes to use for the *automatic* award of five *additional* points.

We therefore respectfully submit that this proposed system of "competitive priority" is redundant in the context of the current adjudication process.

3. THE SECRETARY'S PROPOSED SYSTEM OF COMPETITIVE PRIORITY HAS THE CLEAR POTENTIAL OF SUBVERTING THE PROPOSAL ADJUDICATION PROCESS AND DESTROYING THE INSTITUTIONAL INCENTIVES CURRENTLY A PART OF PRH.

In his undated "Dear Applicant" letter (which was a part of the 1989 PRH Program application package), Richard L. Fairly, Director of Higher Education Program Services of the Department of Education, stated: "*A proposal will be judged only on that information which is documented*" [emphasis in the original]. The gratuitous award of five additional points to a certain class of applicants would be diametrically opposed--in theory and in practice--to the traditional process of the submission and unbiased evaluation of competitive proposals. Beyond being patently unfair to all but one class of applicants, such a "competitive priority" of five points mandated by the Secretary would subvert the competitive process, *particularly where all successful proposals have fallen within a ten point margin*.

The implementation of such a proposal would therefore have the concomitant effect of diminishing or completely destroying the incentive that the PRH Program currently provides for institutions to develop better and better programs that share the goals of PRH.

Our interest in the PRH Program is deep and our opposition to the proposed priority system is strong. We therefore place ourselves at the disposal of the U.S. Department of Education for any further assistance that we might provide.

Very sincerely yours,

Robert A. Chaim
Assistant Dean and
PRH Institutional Director

AMERICAN BAR ASSOCIATION
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June 13, 1991

Statement of

JOSE R. GARCIA-PEDROSA

on behalf of the

AMERICAN BAR ASSOCIATION

before the

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

COMMITTEE ON EDUCATION AND LABOR

of the

UNITED STATES HOUSE OF REPRESENTATIVES

on the subject of

REAUTHORIZATION OF THE HIGHER EDUCATION ACT
GRADUATE PROGRAMS

June 13, 1991

Mr. Chairman and Members of the Subcommittee:

I am Jose R. Garcia-Pedrosa, Chairperson of the Section of Legal Education of the American Bar Association. I submit this statement on behalf of the Association at the request of our President, John J. Curtin, Jr., to express our support for reauthorization of three programs which are critical to professional legal education as part of the reauthorization of the Higher Education Act of 1965 (Pub. L. 89-329), under your consideration. A number of the programs in the Higher Education Act are of great importance to graduate and professional education, and some of those programs are of particular importance to minority groups who have been traditionally underrepresented in graduate and professional education. The Higher Education Act has helped to assure access and choice for all Americans with regard to opportunities for higher education, and it is the hope of the American Bar Association that the reauthorization of the Higher Education Act will renew the federal commitment to these programs.

The American Bar Association, along with others involved in higher education, has become increasingly concerned at the erosion of federal student aid in recent years at the undergraduate as well as graduate level. This means that low income and disadvantaged students are either overburdened with educational debts or are foregoing a college education altogether. This adverse effect on education at the undergraduate level and increasing indebtedness are a further disincentive to the pursuit of graduate and professional education, especially for low-income and minority students who are significantly underrepresented in these areas. Even for those who do enroll in a program of graduate or professional education, the retention rate for low-income and minority students is lower than that for other students, in large part because of financial problems they are experiencing. Finally, we are also concerned that the increasingly high debt burden accumulated by most graduate and professional students who do complete the program has a substantial effect on the choice of jobs that they take upon graduation, with fewer and fewer graduates being financially able to accept public service and public interest jobs. On behalf of the American Bar Association, we express our strong hope that the reauthorization of the Higher Education Act will be the opportunity for addressing these concerns.

Summary of Recommendations:

We support retention and reasonable increases in the authorization levels of two small but important programs now in Title IX -- the Assistance for Training in the Legal Profession Program, administered by the Council on Legal Education Opportunity, and the Clinical Legal Experience Program. We also support an amendment to clarify that the ATLP Program is intended to assist individuals from disadvantaged backgrounds, including students from minority groups underrepresented in the legal profession; that the program be national in character; and that potential grantees be representative of both the legal profession and the legal education community. Last, we support reasonable increases in Patricia Roberts Harris Fellowship authorization levels and assurances that the two priorities currently in the legislation remain the only priorities in the award of these fellowships.

Assistance for Training in the Legal Profession Program (ATLP).

This program --Title IX, Graduate Programs, Part D - "Fellowships for Other Purposes" -- has been administered since its inception over twenty years ago by the Council on Legal Education Opportunity, or CLEO. It is a modest program that has had a significant impact on the number of persons from disadvantaged backgrounds, particularly minorities, receiving a legal education. Without this program, many minority students who today are practicing law might not have enrolled in law school and, even if they had enrolled, might not have graduated. We urge the expansion of this program.

The Council on Legal Education Opportunity has been a major factor in the dramatic rise in the number of persons from disadvantaged backgrounds, particularly minorities, receiving a legal education. Our Association joined with other concerned organizations representing legal education in 1968 to create

CLEO as a means of addressing the problem of the underrepresentation in the legal profession of minorities and other disadvantaged persons. In 1970 federal appropriations supporting the program began. The program was incorporated into Title IX of the Higher Education Act in 1972. Since its inception the program has sought to identify such persons and encourage them to apply to law school; to provide special pre-law school training to assist their entry into law school and their performance once enrolled; and to aid them financially while there.

When the program began in 1968, only 1% of the nation's lawyers were members of minority groups. That figure has grown to more than 4%, and the figure continues to rise as the number of minorities entering law school increases each year. The percentage of minorities in the first-year class at the nation's law schools this year is 16%, up from 14% last year. Minorities now make up 14% of the law school student body nationally, up from 12.6% last year.

ATLP through CLEO has provided the opportunity for over 5000 students to attend law school. But beyond the students it has aided directly, the program has served to encourage law schools to increase their own efforts to ensure that all segments of society will be adequately represented in their student bodies and, ultimately, in the legal profession.

In 1986 ATLP was reauthorized to continue in existence through 1991, with authorization ceilings of $5 million for FY 87 and "such sums as may be necessary" thereafter. As has been the case in most of the past decade, a zero appropriation has been recommended by the Administration for CLEO for FY92. Additionally, the Department of Education has sought to alter the program's standards in ways which would prevent participation by many disadvantaged students and to change the administration of the program in ways we believe will be counter-productive.

We strongly support continuation of the ATLP program and continuation of its administration by CLEO, or, if not CLEO, a comparable organization -- one that is national in scope and is operating under a Board of Directors that includes representatives of established, national legal education and legal profession associations.

The ATLP program through CLEO has throughout its existence served as a cooperative effort of our nation's legal organizations and law schools. Today, the ABA, the Association of American Law Schools, the Law School Admission Council, the

Hispanic National Bar Association, the National Bar Association and the National Asian-Pacific American Bar Association work together with over 100 participating law schools to recruit CLEO fellows, to conduct summer institutes to prepare students for law school, and to support CLEO fellows throughout their law school experience. Indeed, CLEO is unique in that it is the only cooperative venture in which all of the major legal organizations participate.

The stability of CLEO has been a critical factor in its programmatic success. This stability has allowed CLEO to develop a reputation as an effective prelaw preparatory organization, which, in partnership with the legal educational community, has consistently achieved the Congressional goal of increasing legal education opportunity for disadvantaged and minority students. CLEO has proven to be a cost-effective and efficient mechanism for administering the ATLP program since its inception. It continues to serve well the goal of Congress and our society to address the underrepresentation of minority and disadvantaged students entering the legal profession.

We believe the ATLP Program was developed for and is intended to assist individuals from disadvantaged backgrounds, including students from minority group underrepresented in the legal profession. This is a long-standing position of the American Bar Association and is consistent with both 23 years of practice under the ATLP program and with Standard 212 of the ABA Standards for the Approval of Law Schools, calling for a "commitment to providing full opportunities for the study of law and entry into the profession by qualified members of groups (notably racial and ethnic minorities) which have been victims of discrimination in various forms." We urge you to amend the statute to clarify [and specify] this intent as part of the reauthorization process.

The Law School Clinical Experience program.

Title IX, Part E of the Act provides funds to law schools to permit students to gain experience as professionals. Clinical programs give students hands-on experience in interviewing, counseling, drafting, negotiation, and pretrial and trial procedure; permit them to develop a sense of professional responsibility and an understanding of and appreciation for competence in client representation; and often furnish an essential public service by providing legal services for the poor. They assist students to provide high quality legal services to the public upon graduation, and, as such, are an invaluable part of the student's training.

Clinical programs complement and reinforce the theory that is learned in the classroom. Such programs, however, necessarily involve close supervision and review of the students by law professors and practicing lawyers, and the student-teacher ratio must be far lower than in conventional classroom teaching arrangements. Currently, 543 faculty members nationwide are devoting all their time to clinical professional skills programs. There are 1864 full-time faculty teaching professional skills with at least part of their time, and there are 1866 part-time faculty teaching professional skills. While the law schools have diverted funds from other educational activities to experiment with and improve upon clinical experience programs, they are finding it increasingly difficult to support further expansion and improvement of these programs.

We believe the Clinical Experience program has demonstrated clearly its effectiveness and should continue and be expanded. We believe further that they should not be limited to "innovative" programs but extended to continuing programs.

The Patricia Roberts Harris Fellowship Program.

This program has been an important source of grants to aid minority and disadvantaged students to attend law school. The American Bar Association has since the 1960's been concerned with the very small number of minority law school faculty.

There will continue to be a very limited pool from which to select faculty members unless minorities are assisted to attend law school. An increased minority presence in law school provides educational benefits for all students by increasing understanding of minority groups and by increasing effective communication across racial and ethnic lines. The reasons for emphasizing the importance of increasing representation of minorities in law school student bodies apply with even more force to increasing the number of minority teachers in the law schools. A minority teacher brings a presence and a perspective for which their is no substitute and is an important end in itself.

This authorizing statute currently contains two priorities: for individuals who plan to pursue a career in public service, and for individuals from traditionally underrepresented groups undertaking graduate or professional study. The Secretary of Education has proposed adding a third priority which would effectively limit eligibility to those individuals pursuing a doctorate in mathematics or science. We strongly believe continued support is needed to encourage entry into law teaching. We urge that the statute prohibit the Secretary of Education from establishing other competitive preference priorities that would undermine these two objectives.

In closing, on behalf of the American Bar Association we wish to state our appreciation for the the careful and deliberate attention the Subcommittee is giving to the reauthorization process. We appreciate the opportunity to offer our remarks regarding these graduate programs and to state the concerns we hope will be addressed as the reauthorization process goes forward this year.

1047b

HEARING ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

TUESDAY, JUNE 18, 1991

House of Representatives,
Subcommittee on Postsecondary Education,
Committee on Education and Labor,
Washington, DC.

The subcommittee met, pursuant to call, at 9:46 a.m., Room 2175, Rayburn House Office Building, Hon. William D. Ford [Chairman] presiding.

Members present: Representatives Ford, Hayes, Payne, Andrews, Reed, Roemer, and Armey.

Staff present: Thomas Wolanin, staff director; Jack Jennings, education counsel; Maureen Long, legislative associate; Gloria Gray-Watson, administrative assistant; Jo-Marie St. Martin, minority education counsel; and Rose DiNapoli, minority professional staff member.

Chairman Ford. I am pleased to convene the Subcommittee on Postsecondary Education for the 24th of our scheduled 46 hearings on the Reauthorization of the Higher Education Act. We have just passed the halfway mark.

This morning we will hear from the administration and the higher education community on three critical parts of the Higher Education Act: the TRIO programs; the SSIG, or State Student Incentive Grant program; and the Veterans Education Outreach Program.

The subcommittee scheduled this hearing for this morning to coincide with the National Council of Education Opportunities Association Annual Leadership Conference. NCEOA has been very active in the support of the TRIO programs over their life.

TRIO's name is misleading, because it refers to six programs, not three, authorized to address the needs of economically and educationally disadvantaged students by outreach and support services, to assist students in attaining postsecondary education.

I might note that that comes about as a result of the fact that TRIO wasn't an education program when it started. It was started in the Office of Economic Opportunity by our friend Sargent Shriver, and we lived with it for long enough so that as new categories and new programs were added to it, it continued to carry the name TRIO, which serves it well, so I see no reason to amend any statute to change that. But it sometimes confuses people when they find three and say, "Now I've got it," and we tell them, "No, you've got to look for three more."

Currently, these programs receive $333.8 million in Federal funds and assist about 589,000 students to prepare for undergraduate and graduate education. They also provide special support services for students in postsecondary education institutions.

The State Student Incentive Grant program, currently funded at $63.5 million, provides an incentive for States to support need-based financial assistance programs. An SSIG grant is matched at least dollar for dollar by the States. The Veterans Education Outreach Program, funded at $2.7 million, provides tutoring and counseling services for veterans pursuing postsecondary education.

I am pleased that John Childers, the Deputy Assistant Secretary for Higher Education programs at the Department of Education, is here to present the administration's views on these programs. I look forward to the testimony of all of our witnesses this morning.

Without objection, the prepared statements of the witnesses will be inserted in the record in full immediately following their oral testimony.

First, Mr. Childers, Deputy Assistant Secretary for Higher Education Programs, U.S. Department of Education. You may proceed in any way you feel most comfortable.

STATEMENT OF THE HONORABLE JOHN B. CHILDERS, DEPUTY ASSISTANT SECRETARY FOR HIGHER EDUCATION PROGRAMS, U.S. DEPARTMENT OF EDUCATION

Mr. CHILDERS. Thank you very much, Mr. Chairman. It is an honor to be here to appear before you and the other members of the committee this morning.

Today we are discussing the access and retention programs of the Higher Education Act. Since the first of these programs, Upward Bound, was authorized over a quarter century ago, the key role of the Department's access and retention programs has continued to expand. They have done a great deal to assure that low-income and disadvantaged students receive the preparation and financial support to enter postsecondary education and to complete it.

Today I am going to be making proposals on behalf of the administration to improve and forge new linkages in these TRIO programs. Currently, there are six access and retention programs funded as part of TRIO. The four largest of the programs, Upward Bound, Talent Search, Student Support Services, and Educational Opportunity Centers, are now serving more than 570,000 students at more than 1,500 projects at more than 1,000 colleges, universities and nonprofit organizations.

The TRIO programs account for more than 47 percent of the budget administered by the Office of Higher Education Programs. The Department's current efforts to enhance access and retention focus on both the secondary level and the postsecondary level. At the secondary level, Upward Bound and Talent Search provide tutorial and academic support to students in secondary school, plus Talent Search now serves students in grades seven and eight.

Mr. Chairman, I would just like to note that the talent search initiative to serve students down through the seventh and eighth grades, as well, is starting this year for the first time. All grantees in Talent Search have to have a plan to serve students down through the seventh grade level.

Upward Bound also offers a summer residential component, during which students receive more intensive academic and counseling services and, for college bound students, get an early idea of what a university offers. I would also like to note that, getting underway this summer, are 29 intensive math and science Upward Bound projects. It is a start this year. We intend to have approximately 70 Upward Bound special math-science institutes next summer and hope for further growth in the future.

At the postsecondary level, the Student Support Services Program currently provides funds to 704 colleges and universities to provide tutorial, counseling, and other support services to over 160,000 low-income, disadvantaged or first-generation college students.

Again, this year, in another initiative in the Student Support Services Program, we offered additional funds to all 2 year grantees in the Student Support Services Program, if they wanted it, to help them create articulation agreements with 4 year institutions to help and encourage students to go on. About 220 of our 284 2 year institution grantees have asked for and received additional funds to do just that.

The Department remains strongly committed to the continuation of our efforts to assure access and retention as our budget requests show. However, the administration does have some new proposals to shape the program in these vital programs of access and retention.

The administration proposes creating a new Title I of the Higher Education Act, access and retention programs to address the educational needs of low-income and disadvantaged students. Part A of Title I would establish a Precollege Outreach Program to provide support for outreach services to individuals from low-income and disadvantaged backgrounds to assist them in completing their secondary education and to enter and complete a postsecondary program of study.

This Precollege Outreach Program would replace, by consolidating, the current Upward Bound, Talent Search, Educational Opportunity Center, and the SCUP, School, College, and University Partnership programs. Its formulation would involve formula-based grants to the States. The State in turn would make the competitive awards to institutions of higher education.

The administration feels that this approach has several advantages: One, distribution of funds. Since program funds would be allocated to the States on the basis of the number of disadvantaged students, as determined on the Chapter I formula, funds would be focused on those States with large concentrations of needy youth. The current programs have no mechanism to geographically distribute funds based on need.

Also, the program would require States to direct program support to schools serving communities with the greatest concentrations of low-income individuals. We feel this proposal would also allow greater institutional flexibility in designing proposals targeted to the population of need in the area and improve the targeting of resources to those individuals.

My statement contains a number of services that the Precollege Outreach Program would be allowed to undertake. They are in my statement, and I will just leave them for the statement.

The proposed consolidated program would allow institutions to provide, under one program, any combination of the services currently allowed under current programs. The Department would no longer prescribe exact configurations of programs and services; instead, institutions could design programs tailored to meet the specific needs of their participants.

It would also enable the staff of the Department, which is limited, to devote more time to this program, and consolidation would help us for departmental administration as well. We feel that this outreach program would make a significant contribution to implementing the America 2000 strategies.

At the postsecondary level, we propose continuation of the Student Support Services Program with some modifications. This program would continue to make grants to eligible institutions of higher education to provide support for individuals pursuing programs of postsecondary education. Students served would be first-generation college students or students who are from low-income or disadvantaged backgrounds. Again, there is a list of services in my testimony that Student Support Services Programs would be able to provide.

However, the Department is proposing a legislative change in the Student Support Services Program to change the current situation in which priority consideration is given to applicants who have prior experience in conducting a Student Support Services Program. A school that is already in the program get extra points.

After all these years, these schools should be willing to compete with other eligible institutions on an equal basis for Federal funds. Instead, the administration is proposing to give priority to institutions with the lowest educational and general expenditure per student. This change would allow the Secretary to target funds on institutions that have the greatest need for these services.

We feel that these proposals in the TRIO programs can make an important contribution to the national effort to reduce college dropout rates and to enhance the opportunities of low-income, disadvantaged, and first-generation college students.

Mr. Chairman, very briefly, the administration is also proposing to combine the Ronald McNair Postbaccalaureate Program or the Minority Participation in Graduate Education Program. I testified on this last Thursday in the graduate programs testimony, and I will just leave it at that right now, but would be happy to answer any questions on that, if there were any this week.

The administration proposals would also eliminate the State Student Incentive Grant program, SSIG. The SSIG program provides grants to States to assist them in providing need-based grants and work-study assistance to eligible postsecondary students.

When this program was first authorized, few except the largest States had programs of financial assistance for postsecondary students. Now all States offer these programs, and we estimate that 42 States considerably overmatched the Federal contribution in 1989–90; 39 of these States provided at least 160 percent more assistance than required by the programs' matching provisions. Clearly, the program has achieved its purpose.

Finally, as part of our proposals for reauthorization, we would discontinue several programs whose functions would be met by the new program. These include the Veterans Educational Opportunity Program, VEOP. Veterans are eligible for services provided by the new Precollege Outreach Program and the Student Support Services Program, as well as programs offered by other agencies.

We would also incorporate the activities of Title I, Part D, the Student Literacy Corps, into the innovative projects for community services and student financial assistance that is part of Title X of our proposed legislation.

Mr. Chairman, in brief, those are the administration's proposals in the access and retention area. Of course, I would be happy to discuss this with you further later in the hearing.

Thank you.

[The prepared statement of Hon. John B. Childers follows:]

Department of Education

Statement by

John B. Childers
Deputy Assistant Secretary

for
Higher Education Programs

before the

House Subcommittee on Postsecondary Education

on

Reauthorization of the Postsecondary Education
Access and Retention Programs

June 18, 1991

Mr. Chairman and Members of the Committee:

I am pleased to appear before this Committee today to discuss the Department's recommendations for reauthorizing the postsecondary access and retention programs of the Higher Education Act. Since the first of these programs, Upward Bound, was authorized over a quarter century ago, the key role of the Department's access and retention programs has continued to expand. They have done their best in many places to assure that low-income and disadvantaged students receive the preparation and financial support to enter postsecondary education and the tutorial and other support services necessary to succeed once they have enrolled. Now it is time to take the lessons learned in these programs, move them into the mainstream of the elementary and secondary education system, and forge new, more broadly applicable links to higher education.

Currently, there are six access and retention programs funded as part of the TRIO legislation. The four largest of the programs, Upward Bound, Talent Search, Student Support Services, and Educational Opportunity Centers, are now serving 573,770 students at more than 1000 colleges, universities, and non-profit organizations throughout the United States. The current ED access and retention programs account for more than 47% of the total budget in the Office of Higher Education Programs. Our proposals for the reauthorization of the Higher Education Act would streamline the current programs and provide for greater flexibility for and innovation by grantees.

Why must we continue Federal support for access and retention programs? The answer is clear. Educational opportunity is an easy position to espouse but a difficult one to implement. The number of at-risk low-income and disadvantaged students has not diminished since these programs were initially authorized. These students face enormous hurdles in their efforts to achieve the American dream of a postsecondary education.

The Department's current efforts to enhance access and retention focus on both the secondary level and the postsecondary level. At the secondary level, Upward Bound and Talent Search provide tutorial and academic support to students in secondary school; plus Talent Search now serves students in grades 7 and 8. These programs also provide their clients with specific information about college admissions and with answers to their all-important questions about the availability of student financial assistance. Upward Bound also offers a summer residential component during which students receive more intensive academic and counseling services and, for college-based programs, get an early idea of the resources and advantages a university offers. Educational Opportunity Centers (EOCs) provide basically the same services, but they include large numbers of non-traditional students among their clients. These non-traditional students include adults who have never completed a high school program, college stop-outs, and drop-outs. Students of high school age are also served by EOCs if comparable services are unavailable locally through the Talent Search Program.

At the postsecondary level, the Student Support Services Program currently provides funds to 704 colleges and universities to provide tutorial, counseling, and other support services to 163,141 low-income, disadvantaged or first-generation college students. Many of these students are former Upward Bound or Talent Search students, or were assisted in their college entry by the staff of an Educational Opportunity Center. During the first two years of study when they are at greatest risk of dropping out, the Student Support Services Program works with these students to increase their study and academic skills, to assure that financial aid applications are available and submitted on time, and to provide the other support they need, within program guidelines, to complete their programs of study.

The Department remains strongly committed to the continuation of its efforts to assure access and retention. However, we believe our efforts in the future should be shaped by the experiences we have had with the current programs. Our responsibility is to maximize the impact of these experiences on access and retention for many who need it. We have developed specific proposals that we think will accomplish that goal.

We propose creating a new Title I of the HEA, Access and Retention Programs, to address the educational needs of low-income and disadvantaged students. These students' numbers are increasing at a time when the job market is demanding better educational preparation.

Part A of Title I establishes a Precollege Outreach Program to provide support for outreach services to individuals from low-income and disadvantaged backgrounds to assist them in successfully completing their secondary education and to enter and complete a postsecondary program of study. This new Precollege Outreach Program replaces the efforts now unproductively fragmented among the Upward Bound, Talent Search, Educational Opportunity Center, and the School, College and University Partnership Programs. It combines important elements of the TRIO programming into a program of formula-based grants to the States; the States in turn would make competitive awards to institutions of higher education and non-profit organizations that link directly to the elementary and secondary systems. This State formula grant approach has several advantages:

o Since program funds would be allocated to the States on the basis of each State's share of Chapter I (Compensatory Education) funding, States with large concentrations of needy youth would receive the largest allocations. The current programs have no mechanism to geographically distribute funding toward the neediest populations.

o In awarding program funds to applicant institutions and organizations within each State, the State would be required to direct program support to schools serving communities with the greatest concentrations of low-income individuals.

o States have better knowledge of unique local needs and would be better able than the Federal Government to coordinate project services with State and local programs serving the same disadvantaged populations -- thus maximizing the effective use of public resources at all levels.

This approach would also--

o allow greater institutional and local flexibility and creativity in designing programs and providing services, and

o improve targeting of resources to the neediest populations.

This streamlined Pre-College Outreach program would allow institutions to provide the following services:

(1) programs to identify qualified individuals with potential for postsecondary education and to encourage such individuals to complete secondary school, or obtain a recognized equivalent of a high school diploma, and to undertake postsecondary education;

(2) programs designed to encourage persons who have not completed their education at the secondary or postsecondary level, but who have the ability to complete such programs, to reenter such programs;

(3) instruction in reading, writing, study skills, mathematics, and other subjects;

(4) personal counseling;

(5) academic advice and assistance in course selection;

(6) tutorial services;

(7) exposure to cultural events, academic programs, and other activities not usually available to disadvantaged individuals;

(8) activities designed to acquaint project participants with the range of career options available to them;

(9) summer residential and nonresidential academic programs for 9th through 12th grade students, including stipends of $40 per month during the academic year and $60 per month in the summer;

(10) programs and activities that are specially designed for students with limited English proficiency;

(11) motivational speakers to build students' aspirations; and information with respect to financial and academic assistance; and to provide assistance in applying for college admission and financial assistance.

The proposed consolidated program would allow institutions to provide under one program any combination of the services allowed under the current program. Significantly, the Department will no longer prescribe the exact configuration of programs and services. Instead, institutions and non-profit organizations are free to design programs tailored to meet the specific needs of their participants and to offer any of these services they feel are appropriate for that purpose. This will permit a degree of creativity and flexibility long overdue in the federal access programs. We expect that the innovations that will follow will enhance the opportunities of the students served and generate effective program models that can be made available to all to ensure the effective delivery of these services.

The new access and retention programs also make a significant contribution to implementing the AMERICA 2000 strategies, particularly Track I - For Today's Students: Better and More Accountable Schools and Track III - For the Rest of Us (Yesterday's Students/Today's Work Force): A Nation of Students.

A key part of Track I is the development of World Class Standards and American Achievement Tests for five core subjects. These tests may be adopted by the schools to assess the knowledge and skills of their students. Two of the core subjects--English (which includes reading and writing skills) and mathematics--are listed among the subjects in which the Precollege Outreach grantees may offer instruction to their student participants. We expect an observable correlation between this instruction and the students' performance on the American Achievement Tests.

The Precollege Outreach Program should also be a major factor in helping achieve National Education Goal #2 which states that "by the year 2000, the high school graduation rate will increase to 90 percent." Many current dropouts come from the group that will be targeted to receive services under the Precollege Outreach Program-individuals from low-income or educationally disadvantaged backgrounds who, if they matriculate, would be first-generation college students.

The Precollege Outreach Program will also serve individuals who are over 19 years old, who may or may not have graduated from high school, are part of today's work force, and, to achieve their full potential and compete successfully in the work place, need to "go back to school", an integral component of Track III.

We propose continuation of the Student Support Services Program with some modifications. This program would continue to make grants to eligible institutions of higher education to provide support for individuals pursuing programs of postsecondary education who are first-generation college students or who are from low-income or disadvantaged backgrounds. The services institutions could provide include:

(1) instruction in reading, writing, study skills, mathematics, and other subjects necessary for success in a postsecondary institution;

(2) personal counseling;

(3) academic advice and assistance in course selection;

(4) tutorial services and counseling, including peer counseling;

(5) exposure to cultural events and academic programs not usually available to disadvantaged students;

(6) activities designed to acquaint students participating in the project with the range of available career options;

(7) activities designed to assist students participating in the project in securing admission and financial assistance for enrollment in graduate and professional programs;

(8) activities designed to assist students currently enrolled in two-year institutions in securing admission and financial assistance for enrollment in a four-year program of postsecondary education; and

(9) programs and activities described in paragraphs (I) through (8) that are specially designed for students of limited English proficiency.

However, the Department is proposing legislative changes in the current requirement that the Secretary give priority consideration to applicant institutions that have prior experience in conducting a Student Support Services Program. After all these years, these schools should complete with other eligible institutions for Federal funds apart from preferential treatment. Instead we want to give priority to institutions with the lowest educational and general expenditure per student. This reasonable change will allow the Secretary to target funds on institutions that have the greatest need for these services.

We feel that, revised as we propose, this program can be a much more important contributor to the national effort to reduce college drop-out rates and to enhance the opportunities of low-income, disadvantaged, and first-generation college students. We wish to continue our effort to make it grow and succeed.

We also propose to expand the Ronald E. McNair Post-baccalaureate Achievement Program by combining with it the Minority Participation in Graduate Education Program under a new Ronald E. McNair Graduate Outreach Program. This new program will provide students from economically and culturally disadvantaged backgrounds with effective preparation for graduate and doctoral study by means of summer internships, seminars, and other activities. By consolidating the two current programs, we would avoid the duplication of services that currently exists between the programs and improve our ability to provide disadvantaged students with effective preparation for graduate study. This proposal is in line with our general objective of simplifying delivery of services and reducing the administrative burden for participating institutions of higher education.

Our proposals would also eliminate the State Student Incentive Grant Program (SSIG). The SSIG program provides grants to States to assist them in providing need-based grants and work-study assistance to eligible postsecondary students. When this program was first authorized, few except the largest States had programs of financial assistance for postsecondary students. Now, all States offer these programs, and we estimate that 42 States considerably overmatched the federal contribution to their programs in 1989/90. Thirty-nine of these States provided at least 160 percent more need-based grant assistance than was required by the program's matching provision. Clearly, the program has achieved its purposes and the States are adequately performing this task now. I would also point out that our proposal to expand the maximum grant under the Pell Grant Program to $3700 more than compensates for any loss of funds under SSIG. In total, aid available under our student aid proposals would increase by $1.3 billion to $19.7 billion despite the elimination of this small program.

Finally, as part of our proposals for reauthorization, we would discontinue several programs whose functions would be met by the new programs. These include the Veterans Educational Opportunity Program. Veterans are eligible for services provided by the new Precollege Outreach Program and the Student Support Services Program; eliminating the VEOP program actually increases the availability of services to them while lessening the burden on institutions, which now must submit separate grant applications and administer separate programs for grants ranging in size from $1000 to $10,000. We would also incorporate the activities of the Title I, Part D, Student Literacy Corps into the Innovative Projects for Community Services and Student Financial Assistance Program that is part of Title X of our proposed legislation.

I would be pleased to discuss our proposals in more detail and to answer any of your questions.

Chairman FORD. Thank you.

I want to apologize to the members of the committee. In my anxiety to get to the panel, I did not recognize members for opening statements. I will do so at this time.

Mr. Reed.

Mr. REED. Thank you, Mr. Chairman.

I had the occasion during a field hearing up in Providence to review the operations of the Rhode Island Educational Opportunity Center, and I was particularly impressed with the work they are doing, particularly among the nontraditional students, adults who are seeking higher education.

This center in Providence serves 4,000 people annually, many who are unemployed or on welfare and looking for the training they need to get into the work force. The average cost is about $125 per client, so that is a cost-efficient operation. There are some remarkable success stories.

One individual that the committee had a chance to meet was Jody Sciamocco, who was a 19-year-old mother of two children when she arrived at the EOC in Providence. She was a high school dropout, single parent, with two children, on welfare. Through the outreach programs of the EOC, she was able to go and receive a nursing degree. Now she is the director of nursing at a 120-bed long-term care facility. And, even more impressively, she has recently started her own business providing nursing services for elderly people on a visiting nurse basis.

So, in a few short years, thanks to TRIO and her own initiative, she went from a welfare mother to a home-owning, tax-paying citizen, earning over $60,000 a year, and that's a remarkable success story. It might not represent all of the clients of TRIO, but it represents the kinds of opportunities we have to provide in our country.

I am concerned that we keep this program viable and strong and active. So I am very closely monitoring the proposals by the administration. Indeed, when Secretary Alexander was here previously, I asked him if he would ensure that we would have a TRIO program that would strongly respond to the nontraditional adult students who are making up more of our educational pipeline and not being well served. So I am very interested in Mr. Childers' comments, and I hope to follow up with questions.

I am very enthusiastic about the TRIO program and want to support it. Thank you, Mr. Chairman.

Chairman FORD. Thank you.

Mr. Roemer.

Mr. ROEMER. Thank you, Mr. Chairman.

I would like to associate myself with the articulate comments by my colleague from Rhode Island and indicate my strong support for TRIO, Talent Search and the Upward Bound programs that Dr. Roland Smith has worked so assiduously on in the Third District of Indiana at the University of Notre Dame. I would like to extend the committee's warm welcome to Dr. Smith, as well, who is a third generation Washingtonian. Dr Smith is assistant to the President of Notre Dame, who testified before the committee 2 weeks ago, talking about the importance of being involved in the local community.

I would just say that we need to make sure that this is a very viable, independent, and strong program. I hope that you will present the committee with expert testimony today, not only about personal experiences with the TRIO program, but also giving us your frank, candid appraisals and advice on whether or not this program should be consolidated as the administration has proposed.

Lastly, I would just like to say that Eddie and Victor from the Upward Bound program in South Bend introduced themselves to me this morning. I would like to welcome them to Washington, as well, and tell them that one of the reasons I support this program is that it gives young people the opportunity to dream about and hope for, and not just wish for a college education, these programs provide the information to make those dreams come true, and to not only prepare students for college but help them succeed once they get there.

I am a big supporter of this program and commend the Chairman for conducting this hearing as well.

Chairman FORD. Thank you.

Mr. Andrews.

Mr. ANDREWS. Nothing, Mr. Chairman.

Chairman FORD. Mr. Hayes.

Mr. HAYES. Thank you, Mr. Chairman. I will be very brief. I realize that time is of the essence.

I do want to say, I know we are here today to review three programs under the Higher Education Act of 1965. Just to enumerate them, the TRIO program, State Student Incentive Grants, and Veterans Education Outreach. I have had an opportunity to read a little bit about each program and, unlike the President, certainly want to support full funding for each.

I have had a special interest in the TRIO program, and I share the opinions expressed by two colleagues who preceded me. I have seen firsthand what this program has done and continues to do for poor and minority students in my First Congressional District in Chicago. I have met and visited with program directors, from the Ada S. McKinley Program in Chicago to Chicago State University, as well as the University of Chicago.

Talent Search, Upward Bound, as well as the four additional programs which help students overcome social, cultural, and class barriers to higher education continue to be crucially important to the access issue. At a time when we slowly are losing ground, as it concerns minority participation and retention in higher education, programs such as TRIO, as well as others we will review today, are key.

So I thank you, Mr. Chairman, for convening this hearing, and, as time permits—because, as you well know, as Chairman of the full committee, we also have a hearing this morning on elementary and secondary education, so I do have to spend a little time there, since I am a part of both committees. But, to the extent that time will permit, I would be glad to stay here throughout the testimony.

Chairman FORD. Thank you.

The panel should know that we are, at the moment, competing for the Secretary of Education, who is explaining little issues like "Choice" before the Elementary, Secondary, and Vocational Education Subcommittee. We will probably lose half of the people we have here now, Arnold, because that's a lot sexier than what we are going to be talking about.

Arnold Mitchem.

STATEMENT OF ARNOLD L. MITCHEM, EXECUTIVE DIRECTOR, NATIONAL COUNCIL OF EDUCATIONAL OPPORTUNITY ASSOCIATIONS, WASHINGTON, DC

Mr. MITCHEM. Thank you very much, Mr. Chairman. It is always a delight to be with you.

I am testifying on behalf of the National Council of Educational Opportunity Associa tions. It should be noted that my views and opinions reflect a process that was developed by the organization and includes comments and feelings of my community across the land.

I would also like to point out, Mr. Chairman, that it was 10 years ago that this committee made the point that the TRIO programs were an integral part of the Federal strategy in terms of advancing postsecondary opportunities. I think, practically speaking, the point that the committee was making then was that, in addition to the financial barriers, there were other barriers that prevented and inhibited access and retention. I think this committee understood that at the time and not everyone did. However, it is a different picture today.

As you know, the Advisory Committee on Student Financial Assistance in their report has come out and pointed to these other barriers, and we need to address them. There are a number of them, and I won't go through all of them, because you know them as well as I, but it is a formidable challenge.

As you made the point in a speech that you gave in January, we do know, as we look at high ability, low-income students and we compare them to high-ability, high-income students, there is a real disparity in their participation in postsecondary opportunities.

So that presents a real challenge for all of us, and particularly so when we talk about the TRIO programs, because we have discovered, in the last 12 months, that as we talk about TRIO-eligible population, the TRIO-eligible population is nearly half of all of today's high school freshman. So we are talking about a large group of people who need the kind of attention and services that these programs provide.

Let me at this point just give you a quick sense of how the NCOA would suggest to the committee that we go about trying to resolve some of these very troubling issues. First, I would like to say, with all deference to my colleague, that we do indeed oppose the block grant. We don't feel that these programs should be reconfigured in that sense.

On the other hand, I would like to take this opportunity to applaud the administration for taking a lead in retooling the TRIO programs in recent years and, very specifically, the early intervention piece with Talent Search, the math-science initiative that Mr. Childers referred to a moment ago, and also in implementing the transfer initiative in Student Support Services. We would urge the administration to continue these efforts.

In the case of early intervention, we are proposing that we move it down a notch, that instead of 12-year-olds, seventh grade, we are suggesting we go to 11-year-olds in sixth grade. We feel that we have a whole range of the middle school experience and we could do a better job if indeed we were able to do that.

I suppose, if there was one word that would characterize the bulk of NCOA's recommendations, it would be accountability, accountability, accountability. Let me elaborate just quickly. With respect to the community that I represent, we want more accountability for ourselves. We are arguing and urging that there be a core curriculum in Upward Bound that would include math and science and language.

Also, in terms of our Student Support Services Programs, we want a more defined purpose. We want to be held accountable for transfer rates. We want to be held accountable for retention. We want to be held accountable for graduation. And, by implication, the institutions that host us should also be held accountable for these things.

In addition to our EOCs and Talent Search Programs, we want a list of permissible services. We have experience now, 25 years. We have some sense of the professional community, the kinds of specific activities that ought to go on in these programs, and they ought to be listed, and we are prepared to carry these things out.

Finally, in this regard, in terms of making ourselves accountable, we want ongoing evaluation. We applaud the administration's lead in proposing funds for evaluation in the last 2 years, and we have supported those recommendations. We want this to continue. And we would like to include in that rubric of evaluation, we would like to include a proposal that was put forth by the late Congressman Silvio Conte where he, too, had a particular evaluation initiative that he thought was important to include in the TRIO mix, and we also support that.

Secondly, we want greater accountability for colleges. Here we get into a very sensitive issue, but I think it is important that it be reraised. We are proposing that there be a requirement that learning disabled students in Student Support Services meet the TRIO eligibility criteria; that is, first-generation and low-income. At present, the Department of Education has physically handicapped to include learning disabled students, and that is creating a problem.

Let me give you an example: In one midwestern university, a member of this subcommittee has jurisdiction over that particular university, in the 1982-83 school year, they served a total of 73 Student Support Services students. At that time, of those 73, 16 were learning disabled. In 1990-92, that same project is serving 175 Student Support Services students, and 119 are learning disabled. I would remind the committee that many of these learning disabled students, if not the bulk of these learning disabled students, are not low-income nor first-generation students.

So my point is that absent a strong commitment on the part of the university to low-income students, learning disabled students are likely to continue to displace low-income and first-generation students, because learning disabled students are a protected group under Section 504; whereas, low-income and first-generation students are not protected and thus get squeezed out.

The second thing I would like to point out, in terms of accountability as it relates to institutions, is that we are urging that there be a minimum grant of $300,000 for each TRIO project. It is our view that colleges must have sufficient funds to hire and retain staff able to win credibility in an academic community in order to better serve their students, more effective advocates for their students. Also, we have to keep in mind that the TRIO programs lost funds in the 1980s. In fact, we estimate that at the present level they lost about 20 percent.

The third area of accountability applies to the Department of Education. In our view, in short, the Department of Education must be held more accountable for the policies and procedure it utilizes to administer TRIO programs. Coupled with that, as I see it, is Congress joining with the administration to provide more administrative resources to the Department of Education. That is part of the problem, based on our analysis.

For example, in fiscal year 1977, the TRIO appropriation was $85 million. The Department of Education had a staff of 55 administering the programs. In fiscal year 1991, the TRIO appropriation is $333 million, and the Department of Education only has 28 administrators with the program.

In addition to this, in terms of holding the Department more accountable as it relates to policies and procedures, we are urging timely notification of funding. We are recommending that funding for both new and continuing applications occur 10 months in advance.

We are in a terrible situation this morning, Mr. Chairman, at least a quarter of our Talent Search programs whose grants expired on May 31, based on my knowledge, have not yet been notified. That means that you have programs sitting there and people don't know whether they have jobs or not. It is a very untenable situation. It is an outrageous situation and not the kind of situation that promotes quality and reflects, in my view, the spirit of this committee.

We need better procedures for resolution of audits between grantees and the Department of Education. There have been some problems in that regard.

Finally, we are saying that we need some lengthening of the grant cycle, one, to reduce the administrative burden on grantees and also to follow cohorts. It takes at least 4 or 5 years to graduate from college, 4 years for Upward Bound. Right now we are on a 3 year cycle; we are saying it ought to be a 5 year cycle. Also, it would have the other effect of reducing the administrative workload, in terms of administration, which would help there, as well.

With that, Mr. Chairman, let me close. Thank you very much for this opportunity.

[The prepared statement of Arnold L. Mitchem follows:]

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Caribbean Association of TRIO Programs

Mid-America Association of Educational Opportunity Program Personnel

Midwestern Association of Educational Opportunity Program Personnel

New England Association of Educational Opportunity Program Personnel

Northwest Association of Special Programs

Southeastern Association of Educational Opportunity Program Personnel

Southwest Association of Student Assistance Programs

Western Association of Educational Opportunity Personnel

TESTIMONY OF ARNOLD L. MITCHEM, PH.D.

EXECUTIVE DIRECTOR, NATIONAL COUNCIL OF EDUCATIONAL
OPPORTUNITY ASSOCIATIONS (NCEOA), WASHINGTON, DC

BEFORE THE SUBCOMMITTEE ON POSTSECONDARY EDUCATION
COMMITTEE ON EDUCATION AND LABOR

UNITED STATES HOUSE OF REPRESENTATIVES

REGARDING THE REAUTHORIZATION OF THE TRIO SUBPART
SUBPART 4, PART A OF TITLE IV OF THE
HIGHER EDUCATION ACT OF 1965

June 18, 1991

Mr. Chairman, Members of the Subcommittee, my name is Arnold Mitchem and I am Executive Director of the National Council of Educational Opportunity Associations (NCEOA). The NCEOA is an organization which represents counselors, instructors and administrators working in educational opportunity programs nationally and also represents those institutions with a particular commitment to delivering outreach and supportive services to low-income and first-generation students. I very much appreciate the opportunity to come before you today to discuss the recommendations of the NCEOA regarding the reauthorization of the Special Programs for Students from Disadvantaged Backgrounds, commonly referred to as the TRIO programs which comprise Subpart 4 of Part A of Title IV of the Higher Education Act of 1965.

The NCEOA developed these recommendations over a six month period devoted to gathering input on various legislative options from counselors, instructors and administrators working in TRIO programs. These recommendations were accepted by our full board after consideration of input received in a series of regional hearings and forums held in various sections of the country.

TRIO consists of six programs which have been authorized at various times from 1965-1986. Talent Search, the first TRIO program included in the Higher Education Act, was originally viewed as a companion program to the Educational Opportunity Grant (now Supplementary Educational Opportunity Grant) program. Recognizing the fact that many of the talented, needy young people for whom EOG was intended were not then entering colleges and universities, the Congress authorized the Talent Search program to seek out these students, to encourage them, and to assist them in enrolling in college.

The sixth TRIO program, the Ronald E. McNair Post-Baccalaureate Achievement program, was first authorized in 1986. McNair, the only program within the Department of Education named after a black male, is designed to motivate and prepare exceptional low-income and first-generation students, and other students from underrepresented groups, for doctoral study and particularly for college teaching.

THE TRIO PROGRAMS AND THE TRIO-ELIGIBLE POPULATION ARE CENTRAL TO THIS REAUTHORIZATION

In a widely quoted speech which you gave, Mr. Chairman, before beginning these hearings you indicated:

> The guiding principle of this reauthorization of Title IV will be enhancing postsecondary educational opportunities for Americans. We know that high ability/low income students are significantly less likely to continue their education beyond high school than high ability/high income students. For example, a recent report notes that "a student from a high income background has an eight to thirteen times greater chance of having a baccalaureate degree by age 24 than does a student from a low family income background." . . . Therefore one overriding principle must be to emerge from this reauthorization with a Title IV that more effectively provides access to postsecondary education for those with the talent and the ability to benefit from it. The purpose of Title IV is not to support institutions, administrators, lenders, student loan agencies, secondary markets or services. The purpose of Title IV is to expand educational opportunities, and the programs and delivery systems must be measured in terms of their effectiveness in meeting that objective.

Mr. Ford, the study to which you referred I believe, was completed by Thomas Mortenson of American College Testing. It indicated that individuals in the highest income quartile have a 55% chance of earning a baccalaureate by the time they are 24 while young people in the third quartile have only a 26% chance; in the second quartile a 13% chance and in the lowest quartile only a 6% chance.

Equally distressing is information which confirms the views held by most Subcommittee members and recently confirmed by a reexamination of High School and Beyond data by Educational Testing Services. The differential in college access and completion is not related to ability but to economic advantage and the social and cultural factors related to economics. Fully half of America's highest ability high school seniors do not graduate from college within seven years of high school graduation.

WHO IS TRIO ELIGIBLE?

Prior to 1980, the eligibility criteria for each of the TRIO programs varied considerably. Upward Bound eligibility, for example, was limited by strict income criteria; Student Support Services, on the other hand, had very broad, descriptive eligibility criteria.

In an attempt to bring uniformity to the Subpart while allowing necessary variations required by program operations, prior to the 1980 reauthorization the TRIO community recommended to the Congress that for each TRIO program, two-thirds of all individuals served would be required to be (1) low-income, i.e., from a family with a taxable income below 150% of the poverty level (the TRIO income table is included as an appendix to this testimony); and (2) a first-generation college student, that is from a family where neither parent had attained a baccalaureate.

It is important to note that the TRIO eligibility criteria are fairly broad, including approximately half of today's high school freshmen. According to 1988 Census figures, 29,926,300 young people who are in-school and between the ages 12 and 24 meet both the low-income and first-generation criteria. (In order to introduce some measure of control for students dropping out of high school, NCEOA examined the percentages of TRIO eligible young people at the ninth grade level rather than among high school seniors.)

This means that approximately 48% of high school freshmen are TRIO eligible. This includes approximately 36% of white high school freshmen and approximately 66% of black high school freshmen. Looking at the data another way, using High School and Beyond data, if one takes the entire TRIO eligible population, approximately 67% of those eligible are white, 21% of those eligible are black, 9% of those eligible are Hispanic, 1% of those eligible are Asian and 1% are American Indian. These are the same individuals in the lower half of the income distribution in this country who Mortenson found presently have less than a 10% chance of completing a baccalaureate by the time they are 24.

THE NCEOA REAUTHORIZATION RECOMMENDATIONS REFLECT A COMMITMENT TO CONTINUED STRENGTHENING AND IMPROVEMENT IN THE TRIO PROGRAMS.

As you know, the Administration is recommending a radical restructuring of the TRIO programs. While the two TRIO programs providing services to students enrolled in college--Student Support Services and the Ronald E. McNair Post-baccalaureate Achievement Program--would continue to operate as federal grant programs administered by the Department of Education, our pre-college programs--Upward Bound, Talent Search, and Educational Opportunity Centers would be eliminated. These pre-college efforts would be replaced by a formula driven state block grant program. States would then make grants to colleges and universities to deliver services designed to increase access and preparation for college. The type and intensity of services would be determined at the local level.

If this were 1965 and not 1991, there might be greater merit in a thorough discussion of the Administration proposal. But this is not 1965, and we presently have twenty-five years experience in developing and improving federal models to increase access and retention of low-income and first-generation students. No one has suggested that TRIO models are not effective in providing access to low-income and first-generation youth and adults.

In fact, in recent years, TRIO programs have enjoyed strong support from both the Administration and the Congress. (In Fiscal 1991, for example, the Administration recommended an 11% increase for the TRIO programs, and the Congress authorized a 38% increase. For fiscal 1992, the Administration has recommended a 15% increase.) NCEOA strongly believes that the best theory and the best program designs are developed in the crucible of experience. At this juncture, when access and retention of low-income and minority students are recognized as such critical national problems, the Administration has offered no rationale sufficient to provide a reason for destroying a network of successful programs, enjoying widespread bi-partisan support, recognized and respected on their campuses and in their communities, in favor of an untried model.

At the same time, the experience of TRIO professionals in delivering supportive services provides a basis for suggesting a number of improvements in program design. The Bush Administration has, in fact, taken the lead in re-tooling TRIO program design, utilizing the programs to address critical national needs. The Administration has, for example, transformed the Talent Search model so that this fall each of the 210 Talent Search programs will be providing counseling, information, mentoring, tutoring and other types of support to junior high school students and their parents. Previously, although the legislation permitted such a program design, funding limitations resulted in almost all Talent Search programs concentrating their services on juniors and seniors in high school.

It is also this Administration which has sought to utilize Upward Bound as a vehicle for addressing the severe shortage of low-income and minority students prepared for careers in mathematics and science. This summer 29 regional Upward Bound Mathematics and Science programs will, for the first time, provide intensive instruction in these disciplines to selected students; next summer the number of such programs will be more than doubled.

It is also this Administration which has sought to refine the mission of Student Support Services projects in junior and community colleges--focusing their efforts on increasing transfer rates to four year institutions by awarding supplemental grants for this purpose. Of course the NCEOA has suggestions how the implementation of each of these initiatives might be improved and we are working with Mr. Childers and his staff to assure their success.

NCEOA recommendations, growing out of the experience of TRIO practitioners, designed to improve TRIO program design and enhance their effectiveness include:

> 1) Extending Talent Search services into the middle schools by allowing Talent Search programs to begin serving participants who have completed; the fifth grade. As the Subcommittee has noted, if we are to encourage and enable more low-income youth and adults to prepare for college, we must

> begin earlier. Talent Search is the most comprehensive vehicle available for such middle school intervention.
>
> 2) Encouraging coordination, where possible, among TRIO programs on a given campus and of TRIO programs and state or institutionally funded support programs that serve low-income and first-generation students; and
>
> 3) Conducting on-going evaluations of the TRIO programs and disseminating the results of these evaluations widely, so as to improve program practice.

NCEOA also supports the idea introduced by Silvio Conte shortly before his death in HR 795 which would provide another mechanism to validify and disseminate good program practices among TRIO programs.

STRENGTHENING THE ACCOUNTABILITY OF ALL PARTIES TO THE SUCCESS OF LOW-INCOME AND FIRST-GENERATION STUDENTS ON OUR CAMPUSES

The Mortenson study referenced earlier in my testimony confirms evidence that I am sure has been shared with you in your hearings throughout the country. Serious problems continue to exist in assuring low-income students a realistic opportunity both to enter college and to graduate from college once they are admitted. Many parties share responsibility for this fact and a second set of NCEOA recommendations are designed to increase accountability for the success of low-income, first-generation students.

TRIO PROGRAMS MUST BE HELD MORE ACCOUNTABLE FOR THE SUCCESS OF LOW-INCOME AND FIRST-GENERATION STUDENTS

After serious self-examination, the TRIO community has concluded that TRIO programs must increase the rigor of their own programs. For that reason, NCEOA is recommending a required core curricula in Upward Bound as well a statement of purpose in the Student Support Services authority which would provide a basis for holding Student Support Services projects responsible for retention, graduation and transfer rates of the students they enroll. Additionally, listings of permissible services are suggested for the Educational Opportunity Center and Talent Search authorities, not only to bring greater uniformity to the Subpart, but also to formalize the professional consensus of our community with respect to what services need to be delivered by these programs in order to provide low-income, first-generation youth and adults an optimal opportunity to reach their potential through education.

COLLEGES AND UNIVERSITIES MUST BE HELD MORE ACCOUNTABLE FOR THE SUCCESS OF LOW-INCOME AND FIRST-GENERATION STUDENTS

The NCEOA recommendation which was the center of the greatest controversy within the TRIO community would require that learning disabled students enrolled in Student Support Services programs meet either the low-income or the first-generation criteria. Presently physically disabled students are eligible for Student Support Services without regard to either criteria. The Department of Education has defined physically handicapped to include learning disabled students and this latter group appears to be the fastest growing population of students within Student Support Services.

Unfortunately, the Department of Education has not compiled the performance reports submitted by TRIO projects since the early eighties. However, as we sought input in preparation for the reauthorization, NCEOA noted a number of instances where upper income learning disabled students were displacing low-income and first-generation students in Student Support Services. Absent a very strong commitment to the success of low-income students on campuses, such displacement is encouraged, for disabled students are a protected group under Section 504, where low-income, first-generation students enjoy no such protection.

Another NCEOA recommendation, that which establishes a minimum $300,000 base grant for each TRIO program is also designed to increase campus accountability for student success. Unless programs are given sufficient funds to hire and retain staff able to win credibility in an academic community and serve as effective advocates for students, Student Support Services funding cannot be used to hold campus leaders responsible for retention of low-income students. Until this year, the Department of Education has favored a practice of increasing the number of TRIO programs rather than increasing the capacity of individual programs to deliver efficient and effective service.

As an example, during the last decade in absolute dollar terms the TRIO appropriations increased by 113%, from $156.5 million to $333.8 million. However, the GAO notes when the TRIO appropriation is adjusted for inflation the programs as a whole lost 9% of their purchasing power and individual projects--due to funding practices within the Department--saw the value of their grants drop 23%. Again, unless institutions receive adequate funds to prepare and support disadvantaged students, they cannot be held accountable for the successful administration of these funds. For this reason, the base grant is very key to the future success of TRIO programs.

THE DEPARTMENT OF EDUCATION MUST ALSO BE HELD MORE ACCOUNTABLE FOR THE POLICIES AND PROCEDURES WHICH IT UTILIZES TO ADMINISTER TRIO PROGRAMS.

Just as programs for low-income students must often fight for status, recognition and adequate staffing on individual campuses, so, too, must TRIO programs fight for reasonable administrative procedures and adequate staffing from the Department of Education. For example, staffing within the Division of Student Services in the Department which bears principle responsibility for the administration of TRIO programs is woefully inadequate. As the following table shows, despite consistent increases in funding, staffing has not increased to allow adequate oversight and appropriate administration of these funds. Such staffing shortages continue to exist despite the fact that the Appropriations Committees have recognized this need and approved funding for substantially increased staffing in the Office of Postsecondary Programs for this purpose.

TRIO STAFFING DEPARTMENT OF EDUCATION

	Appropriation	Division Staff
Fiscal 1977	$85 million	55 persons
Fiscal 1980	$150.2 million	37 persons
Fiscal 1991	$333.8 million	28 persons

The specific recommendations have been put forward by NCEOA to assure that the Department adequately and appropriately carries out the charge of administering the TRIO programs. These include:

> 1) A notification time-table which remedies the lack of timely notification of regarding funding. For example, institutions and agencies which had Talent Search grants ending May 30 have still not officially been notified of continued funding;
>
> 2) Procedures are outlined--the same made available in elementary and secondary education programs--for the resolution of audits and other disputes between a grantee and the Department of Education. In our view the present system does not provide adequate safeguards to institutions and agencies receiving TRIO funds;
>
> 3) NCEOA recommends mandating the awarding of TRIO grants in rank order determined by the peer review process (as adjusted by prior experience); and

4) In order to reduce the workload within the Division of Student Services, and to lessen the administrative burden on grantees, NCEOA recommends lengthening the grant cycle for TRIO programs from three to five years.

In conclusion, in the view of the TRIO community as represented by the NCEOA, the recommendations which I have briefly discussed and which have formally been submitted to the Subcommittee, will further improve the TRIO programs and enable them to more efficiently and effectively deliver outreach and supportive services to low-income and first-generation students.

In making these recommendations, we were, however, very aware of and troubled by the extent of unmet need for early awareness and other intervention services within our communities. Certainly NCEOA intends to continue to work with the Appropriations Committees to assure continued expansion of TRIO funding and increase the number of TRIO programs funded. NCEOA also sees it as an important part of our mission to work with colleges, universities and community-based agencies to encourage greater interest in and capacity for sponsoring TRIO programs on campuses and in communities throughout the country.

Certainly we believe the provision of supportive services--like the provision of student financial assistance--is a joint federal, state and institutional responsibility. But the responsibility for encouraging our young people to have high aspirations and for assisting them to prepare for postsecondary education must be assumed by each of us. For this reason, we gave considerable thought to proposing a mechanism which would mobilize the resources of all segments of our communities for this purpose. Dr. Roland Smith of Notre Dame will present NCEOA's proposal for a "Super-Pell" which is designed to achieve this end.

I appreciate the opportunity to testify before you today and would be pleased to answer any questions you might have.

Chairman FORD. Thank you.
Dr. Roland Smith.

STATEMENT OF ROLAND B. SMITH, JR., EXECUTIVE ASSISTANT TO THE PRESIDENT, UNIVERSITY OF NOTRE DAME, SOUTH BEND, INDIANA

Mr. SMITH. Good morning, Mr. Chairman. It is a pleasure for me to appear before the subcommittee this morning.

Since you have in your hand my statement, I will just concentrate my remarks, my brief remarks, this morning on some reflections that I have on my years of experience in TRIO. I want to talk a little about what we call the Super-Pell idea.

I want to go back to why I got into TRIO. Essentially, I was a manpower planner for youth programs in the City of South Bend and very much frustrated with what I was seeing with regard to young people seeking employment and the lack of skills that they had. And, in my frustration, I realized that I wanted to do something that involved providing some skills and educational opportunity for these young people.

I got involved in Upward Bound first as a community volunteer. Within a year, I found myself having left the city government to work at Notre Dame in the Upward Bound program. It didn't take me long to realize that in Upward Bound we were recruiting students at the 10th and 11th grade at that point, and that was simply too late.

So the concept of early intervention is not a new one for me and for many people who are involved in TRIO programs. In fact, one of the things that I did early on in my experience there was to do a study of students who had come into Upward Bound, along with those that we perhaps were not able to serve.

What I found was that many of the students had fairly good backgrounds at the elementary level. Somewhere around the sixth grade, seventh grade, the bottom appeared to drop out, academically, for many of these young people.

So there was something happening there that I noticed some time ago. I felt that we needed to do something much earlier than the 10th and 11th grade. So we started some initiatives. We expanded our Upward Bound program to a Talent Search program and created the Center for Educational Opportunity at Notre Dame.

It was clear to me that the importance of the programs involved several factors: one, they provide motivation; two, they provide academic skills; and, three, information, additional information about careers and opportunities. The other element of the programs is that they provide personal contact. These elements, I think, are crucial.

When we talk about expanding the concept of TRIO into what we are calling the Super-Pell grant, which really is an additional early intervention program, much like the "I Have a Dream" concept, I think there are two crucial elements to the Super-Pell grant that you have in the statement before you. It is a vehicle to build on what we have learned in TRIO programs, and it has some critical points.

One is that it motivates the community and rallies community resources in a way that we probably have not been able to do before. Second, it provides tangible motivation and a carrot, if you will, for the young people being served. I think it is important that we look at the concept of these students needing a vision. Many students have really lost the vision of the future for themselves, and, if they had an opportunity for assurances in some financial aid early on, if they meet some specific criteria, then I think we would see some real progress.

I would like to turn now to South Bend as a community. South Bend, in this area, is a very proud community, and it is a community that is unwilling to ignore its problems and some of the issues that it is facing within the area.

We had, last January, an education summit for the community where we brought together business, educators, agencies, parents, about 100 individuals, for a day and one-half at the University of Notre Dame to discuss our vision for education in that community. Early intervention was one of those, but one of the other issues was that there was no clear sense of how we might accomplish that. What kind of stimulant could we have for the students?

I see the Super-Pell program as one that involves community agencies, United Way agencies, various social groups, and other community groups to get them actively involved, to give them some concrete ways to get involved in these programs.

I would like to just simply conclude my comments and say that—to rely on a personal narrative. When I was growing up—as Congressman Roemer mentioned, I'm a native Washingtonian—when I was growing up here in the District, my parents were telling me that they were saving up for my college education. I had no idea what that meant, but I knew that I had better start thinking about it, if they are sacrificing and saving some money. So that created a vision for me.

However, it wasn't so much the amount of money, because in fact the money that they spent years saving was used up in my freshman year, the important lesson I learned was that it created a vision of opportunity for me, and it allowed me to have the insight and the resources and the will and the vision to continue on and finish my education even though they had no more resources to assist me.

With that, Mr. Chairman, I will conclude my oral remarks and be available for any questions that you might have.

[The prepared statement of Roland B. Smith, Jr. follows:]

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Midwestern Association of Educational Opportunity Program Personnel
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Northwest Association of Special Programs
Southeastern Association of Educational Opportunity Program Personnel
Southwest Association of Student Assistance Programs
Western Association of Educational Opportunity Personnel

TESTIMONY OF ROLAND SMITH, Ed.D.

EXECUTIVE ASSISTANT TO THE PRESIDENT,
UNIVERSITY OF NOTRE DAME, NOTRE DAME, INDIANA

BEFORE THE SUBCOMMITTEE ON POSTSECONDARY EDUCATION
COMMITTEE ON EDUCATION AND LABOR

UNITED STATES HOUSE OF REPRESENTATIVES

REGARDING THE SUPER-PELL PROGRAM

June 18, 1991

Tenth Annual Conference
"EDUCATIONAL IMPERATIVES FOR THE PUBLIC GOOD: CREATING DIVERSITY ON OUR NATION'S CAMPUSES"
September 22-25, 1991 • Hyatt Regency Hotel • Tampa, Florida

Mr. Chairman, Mr. Roemer, Members of the Subcommittee, my name is Roland Smith and I am Executive Assistant to the President at the University of Notre Dame in South Bend, Indiana. Prior to assuming this position, I served for twelve years in various capacities and finally as Director of the University's Center for Educational Opportunity which administers two TRIO programs on campus--Talent Search and Upward Bound. I am pleased to be here today to testify on behalf of the National Council of Educational Opportunity Associations (NCEOA).

As Dr. Mitchem mentioned, the TRIO community must continually come to grips with the shortage of resources available to address the needs of low-income and first-generation students. We agree with many members of the Subcommittee who have concluded that work with TRIO eligible young people must begin at the earliest possible age if such students are to have a realistic opportunity to aspire to, prepare for and succeed in college.

Mr. Sawyer has introduced legislation which would promote the delivery of earlier and better information regarding post-secondary education and the availability of aid to finance college. Mrs. Lowey has introduced the Liberty Scholarship bill which is also designed to assure intervention and support for low-income students beginning at the elementary level. NCEOA has supported both of these initiatives.

However, NCEOA is concerned that even with authorization of these initiatives and substantial increases in TRIO funding, the majority of young people in the bottom half of the nation's income distribution will not be guided toward and supported in their pursuit of postseoncdary education.

In earlier testimony before this Subcommittee, Paula Martin, Executive Director of the East Harlem College and Career Counseling Program related her experiences in implementing a model to provide Talent Search services to junior high school students in East Harlem. She noted that her Talent Search project was currently only able to serve 60 junior high school students in a target area with more than 3,200 eligible students. In the area served by the Notre Dame Talent Search program there are over 4,500 eligible middle school and junior high school students; we are able to serve only 135. Ms. Martin's experience, and Notre Dame's experience, is repeated in thousands of communities across the country.

Many, including those in TRIO, are impressed with the Eugene Lang, "I Have a Dream" model. We, too, understand the importance of providing a guarantee of financial aid for college and tying this guarantee to participation in an early intervention program. The purpose of this NCEOA proposal, which for want of a better name we are referring to as "Super-Pell", is to put the "I Have A Dream" model within the reach of any community in the nation--low-income, working class, middle class.

In brief, the purpose of the Super-Pell program would be to encourage the development of an infra-structure to provide personalized, culturally releveant information and motivational activities to Pell-eligible young people and their parents, to encourage these youth to prepare for and pursue a postsecondary education.

The Super-Pell Idea

Pell-eligible individuals who met the requirements of a certified early intervention program would be eligible for a Super-Pell. Certified intervention programs would include Talent Search early intervention programs, early intervention programs operated by trhe state such as Liberty Scholarship programs, and other early intervention programs certified by the Governor.

In order to qualify for a Super-Pell, students would be required to be Pell-eligible. NCEOA is proposing that the amount of the Super-Pell grant be tied to Pell eligibility, for example 25% of regular Pell eligibility. With current funding, the maximum Super-Pell grant would be $575 per year. With a $4,500 Pell maximum, the maximum Super-Pell would be $1,125. Minimum requirements for certification of an early intervention program would be included in the law.

NCEOA is suggesting that to be certifiable by a Governor, intervention programs must provide services to students such as tutoring, academic advising, mentoring and counseling. Services must be provided for at least two hours each week, outside of regular classroom hours. Meetings of participating students must be scheduled at least bi-weekly. NCEOA is also suggesting that students would be required to participate in the certified intervention program for at least three years between sixth grade and tenth grade in order to qualify for a Super-Pell.

Who Might Provide Super-Pell Services?

Most providers of intervention services qualifying students to receive Super-Pell grants would receive no federal or state funds. They would in fact be the thousands of points of light to which the President rightly refers--businesses, PTA's, churches, boy scout troops, girls clubs and other voluntary organizations, student groups such as those mobilized in Notre Dame's Center for Social Concerns, individuals, alumni groups, any group of organized individuals united in their concern for "other people's children." What the Super-Pell program would do is focus these individual and group efforts on enabling the young people with whom they work to realize their full potential through postsecondary education. Hopefully, such a program would significantly reduce the chances of any young person entering or completing high school without the knowledge that federal aid, and other aid, is available to him to support college enrollment.

The Nuts and Bolts of A Super-Pell Early Intervention Program

Rather than attempt to describe how the Super-Pell program might operate nationally, let me share with you how I see it operating in South Bend, the community with which I am most familiar. For purposes of discussion, I want to focus on how the Super-Pell program would provide black males such as myself, who have had benefit of significant opportunities, with a vehicle for sharing similar opportunities with future generations of black males.

Certainly individuals feel responsibility to different groups of youth and one of the most attractive aspects of the super Pell idea is that it allows individuals to provide very concrete benefits to young people about whom they are concerned. For example, unions might sponsor programs for the children of members; churches for parishioners; PTA's for students in their schools; neighborhood centers for neighborhood youth.

South Bend and Black Youth in South Bend

Located in the northern part of Indiana with a population slightly over 100,000, South Bend has been known historically as the home of Studebaker and other manufacturing industries. In recent years with the general decline of the area's industry, Notre Dame has emerged as the largest employer. While in recent years, many of the jobs lost with the earlier decline in manufacturing have been replaced, these new jobs are, in many instances, lower paying. Moreover, many young people graduating from South Bend's schools today cannot compete for the higher skilled jobs now available requiring postsecondary education.

Black males in the South Bend area face problems not unlike those of their peers nationally. In South Bend over 25% of black males are growing up in single parent homes; fewer than 4% are enrolled in college preparatory courses; over 25% are disciplined each year by in-school or out of school suspension; fewer than 3% of black males are maintaining a 3.0 grade point average or higher in high school and over 65% have grade point average below 2.0.

And nationally,

--over one-third of young black males grow up in homes with no father present;

--nearly 40% of all black 16 to 19 year olds are unemployed (compared to 18.3% nationally for this age group;

--black males represent 43% of the federal and state prisoner population in the United States even though they represented only 6% of the population. As has been widely quoted, there are more black males in jail than there are in college.

Possible Providers of Super-Pell Services in South Bend

In South Bend, I believe, numerous community groups might be mobilized to provide Super-Pell programs. In preparing for this testimony, I have identified a sample:

1. United Way Affiliated Agencies
    - YMCA Urban Youth Services
    - the Urban League
    - Hansel Neighborhood Center
    - La Casa de Amistad

2. School-Parent Sponsored After School Programs

3. University Sponsored Groups
    - Upward Bound and Talent Search
    - Project Mass Com: Minorities in Communications
    - the Center for Social Concerns (which, among other things, mobilized the efforts of over 1,200 Notre Dame students to volunteer annually in social services programs);
    - Notre Dame alumni groups

4. Business and Business-related Organizations
    - Individual Businesses
    - the Community Education Roundtable
    - the Private Industry Council
    - the Youth Services Bureau

5. Fraternal and Professional Groups
    - Fraternities and Sororities
    - voluntary groups such as, Leaders and Positive Role Models, Concerned Black Men

Resources that Would Be Required

In order to assure that the Super-Pell program has the greatest possible impact I believe four things are necessary:

> First, Mr. Sawyers bill providing training for community workers, counselors and others working with youth is absolutely critical. If the intervention programs delivering Super-Pell services are to be credible, the volunteers staffing them must be able to provide accurate and complete information. These individuals must be provided training and information to assure that end.
>
> Secondly, the TRIO pre-college programs, especially Talent Search, must be strengthened. For the Super-Pell idea to work most effectively, volunteer efforts must have a fully staffed, on-going program to turn to for information and assistance. The presently operating Talent Search programs can provide such a resource.

Third, the Administration must mobilize the business community and other voluntary organizations behind the Super-Pell program. Post-secondary access and retention must be seen as a critical national education goal.

Fourth, colleges and universities including Notre Dame must fully commit themselves to the Super-Pell program. They must be willing to mobilize students, faculty and staff, and alumni in providing the mentoring, tutoring and counseling necessary for certified Early Intervention programs.

In no way should my remarks today be taken to undercut the importance of full funding of the Pell Grant Program. The NCEOA Board voted unanimously to support a Pell Grant entitlement which would bring the maximum grant to the $4,500 level. What the Super-Pell program is intended to do is supplementary. Its goal is to mobilize community resources and promote community awareness so that all of our young people become convinced that they have a realistic opportunity to attend college, so that all of our young people have information available to them at an early age which protects their options regarding postsecondary education, and so all of our young people are supported as they pursue their full potential.

I realize that our presentation does not include a great deal of operational details regarding the Super-Pell program. If the concept appears workable, we in NCEOA would be pleased to work with Members of the Committee and those in higher education to develop specific legislative language.

I appreciate the opportunity to testify before you today and would be pleased to answer any questions you might have.

Chairman **Ford**. Thank you very much.
Francis Hynes.

STATEMENT OF FRANCIS J. HYNES, PRESIDENT, NATIONAL ASSOCIATION OF STATE SCHOLARSHIP AND GRANT PROGRAMS, ALBANY, NEW YORK

Mr. **Hynes**. Thank you, Mr. Chairman.

I am Frank Hynes, vice president for grants and scholarships at the New York State Higher Education Services Corporation. I am here today as president of the National Association of State Scholarship and Grant Programs, NASSGP.

Our association is an organization or representatives of the agency of each State and territory which is responsible for administering student financial aid programs. Last year, the agencies together provided over $2.15 billion in student financial aid to over 1.7 million students. Our member States and territories administer payments for several Federal student aid programs including the SSIG program, Douglas Scholarships and Byrd Scholarships.

I am here today to testify on behalf of the State Student Incentive Grant program. The SSIG program was established in 1972, and its stated purpose is to make incentive grants available to the States to assist them in providing grants to eligible students attending institutions of higher education and grants to eligible students for campus-based community service work-learning study.

Some of the virtues of the SSIG program include the following: It requires a 50 percent funding match from States, thus providing students with at least $2 in financial aid for every $1 in Federal funding. In doing so, it stretches Federal dollars further proportionately than any of the other Title IV programs. It targets aid to students with substantial financial need.

It requires States to maintain or increase their share of the funding match through the 3 year maintenance of effort statutory requirement. It allows community service programs to be developed by States using up to 20 percent of their SSIG allotment. It provides for a simplified distribution of Federal aid through State-coordinated student aid forms and award processes.

Supporters of SSIG believe that it continues to be an effective Federal-state partnership, which provides the most needy students with grants for their higher education. A Spring 1991 survey by NASSGP found that SSIG is an important supplement to available aid, allowing student choice and driving State funds.

Some highlights from the study are as follows: 92 percent of the States administering the SSIG program indicated that its elimination would affect their State need-based programs. There was virtually no difference in the response by size of State. About 25 percent of the States reported that elimination of the SSIG program would mean the elimination of their State grant program as well.

The leveraging effect of Federal funds is quite strong within the SSIG program. This factor was confirmed last year in the survey by NASSGP which showed that 75 percent of the States responding would increase their State funding if Federal funding were provided above $75 million. They all expected the State legislatures would fund new money to match the increased Federal funding.

The presence of the State Student Incentive Grant Program is a continuing incentive to the States to improve the ability of needy students to attend postsecondary education. States who have responded to the incentive provided by SSIG may not be able to sustain a program without it. Many people that I have spoken with, who have initially criticized the SSIG program for having overstayed its welcome, seem astonished to learn that there is also a maintenance of effort requirement which must be met.

Early I described the $2 in financial aid for every $1 in Federal investment, which is the minimum for SSIG participation, but in actuality the program drives much more. In fact, when you look at State expenditure figures and how they have changed over time, since SSIG has been in existence, you would find that the multiplier effect is more like 10 or 15 to 1. Simply put, it is more cost-effective than any other grant program.

If $50 million more is put into the Pell grant program, $50 million more in financial aid goes to students. If $50 million is put into the Supplemental Educational Opportunity Grant, $59 million in additional financial aid goes to students. However, if you put $50 million into the SSIG program, you get at least $100 million more in financial aid for students.

On April 8, 1991, NASSGP provided the subcommittee with specific recommendations for enhancing and improving the SSIG program. Several of the recommendations are similar to those provided by a 15-member SSIG coalition which was headed by the American Council on Education.

The principal two NASSGP recommendations are: authorization levels for SSIG funding should be increased to $100 million per year. I should point out that this funding level would not even bring SSIG's purchasing power back to the levels it was at in 1980. The maximum allowable grant in the SSIG program should be increased from the current $2,500 to $5,000 per year to recognize the increases in grants that have been provided by State programs.

NASSGP is also supportive of the recommendation provided by the American Council on Education, on behalf of other education associations, which calls for $100 million in SSIG authorization for the current program and a new authorization of $85 million to serve as funding for a pilot early intervention program to be administered by State agencies that now administer SSIG.

I believe there is general agreement that the SSIG program works well in providing access and choice to hundreds of thousands of Americans coast to coast. Funding for the current program should be expanded and sustained, and the excellent administrative framework provided within the SSIG statute could be used to pilot test other promising concepts such as early intervention.

The SSIG program is serving over 260,000 students per year in a tried and true fashion and should not be eliminated.

Thank you, Mr. Chairman, for the opportunity to testify on behalf of the National Association of State Scholarship and Grant Programs.

[The prepared statement of Francis J. Hynes follows:]

Testimony to the U.S. House of Representatives
Subcommittee on Postsecondary Education

Regarding the Reauthorization of the Federal Higher Education Act

by

Francis J. Hynes
President
National Association of State Scholarship and Grant Programs
(NASSGP)

Presented on
June 18, 1991

Washington, D.C.

Good morning. My name is Francis J. Hynes, Vice-President, Grants and Scholarships at the New York State Higher Education Services Corporation (NYSHESC). I am here today as President of the National Association of State Scholarship and Grant Programs (NASSGP). Our association is an organization of representatives of the agency in each state and territory which is responsible for administering student financial aid programs. Last year, the agencies represented by NASSGP provided over $2.15 billion in student financial aid to over 1.7 million students.

Our member states and territories administer payments for several federal student aid programs, including the State Student Incentive Grant (SSIG) program, Douglas Scholarships and Byrd Scholarships. I am here today to testify on behalf of NASSGP in support of the State Student Incentive Grant Program.

As we enter another reauthorization era, several major concerns are presenting themselves as challenges for the 1990's and the millennium beyond. The face of America is changing, particularly its youth. Over the next 30 years, it is estimated that the number of children aged 1-17 living in our country will grow by 17% to over 73 million. Changes in the composition of that school-aged population, and the social problems associated with them, could cause a dramatic increase in the number of educationally underprepared workers for the next several decades. For example, it is projected that:

- From 1989-2020, the number of children living in poverty is expected to increase 37%, to over 20 million.
- The number of children not living with both parents is likewise expected to increase by 30%, to over 21 million.
- The number of children living with undereducated mothers will grow by 56%, over 21 million.

All three of these indicators - poverty, single parents, and poorly educated mothers - are statistical correlates with expected low educational achievement by children. Thus, a growing number of school children will need extra help to make it to college over the next 30 years if traditional patterns continue. The availability of financial assistance, and the grant/loan mix of that assistance could play a major role in providing the needed extra help.

It has been disturbing to us to see the grants/loan mix in student financial aid shift radically during the 1980's. For example, between 1980-81, and 1988-89, federal funding for all postsecondary student aid grant programs fell 35% in terms of constant dollars. During that same time period, college cost increases averaged 18-56% depending on the sector (again, in constant dollars). Whereas, in 1980-81, the average Pell grant equaled 13% of the average private university cost, by 1988 it had declined to 9% of these costs.

To adjust for these reductions, state and institutional grant funding rose dramatically. From 1980-81 to 1988-89, state grant aid increased by 47% and institutional aid grew by 79%, in constant dollars. But, the ability of these sectors to continue to replace dwindling federal grant dollars is diminishing as many states are facing enormous budget deficit problems. And, institutions are under tremendous pressure to lower the rate of increased tuition charges. If a new federal commitment to postsecondary student grant funding is not secured through this reauthorization, it would appear that access by low income students, particularly disadvantaged students, will continue to decline. This would seem to be less than an optimal way to meet the forecasted demographics.

The State Student Incentive Grant Program

One program that could play an expanded role in meeting the needs of the college age youth of today and tomorrow is the State Student Incentive Grant Program. This program was established in the educational amendments of 1972 and its purpose is found in Section 415A of the Higher Education Act as follows:
"It is the purpose of this subpart to make incentive grants available to the states to assist them in providing grants to eligible students attending institutions of higher education and grants to eligible students for campus-based community service work learning study."

Some of the virtues of the SSIG program include the following:

- It requires a 50% funding match from states, thus providing students with at least $2 in financial aid for every one dollar in federal funding. In doing so, it stretches federal dollars further proportionately than any of the other Title IV grant programs;

- It targets aid to students with "substantial financial need";

- It requires states to maintain or increase their state funding match through the "three year maintenance of effort" statutory requirement, even at times when federal appropriations for the program are declining. This requirement assured continued state funding, even for the "overmatch" states;

- It allows community service programs to be developed by states using up to 20% of their SSIG allotment;

- It provides for a simplified distribution of federal aid through state coordinated student aid forms and award processes.

The SSIG program, which allows the use of state grant program legislative rules and regulations, appears to respond better than other Title IV grant programs to the concerns that were highlighted in the Congressional Appropriations Committee report which accompanied the FY'90 budget.

In spite of its success, the SSIG program has been historically underfunded. Between 1980 and 1990, funding for the program was reduced from $77 million to $59.3 million, and the purchasing power of the program over the decade was cut in one-half. In addition, the Administration's budget request over the past 10 years has called for the elimination of the SSIG program, arguing that the purpose of the program has been accomplished. This view evidently overlooks the fact that eight states and territories receive at least 40% of their grant dollars from SSIG, and face the real prospect of losing their entire grant program if SSIG funding is withdrawn.

Supporters of SSIG believe that it continues to be an effective federal/state partnership which provides the most needy students with grants for their higher education. National service bills considered by Congress in 1990 recognized SSIG as a program with the ability to utilize a multiplicity of state programs, leverage federal and state dollars, and thereby achieve national goals.

A Spring, 1991 survey by NASSGP found that SSIG is still an important supplement to available aid, allowing student choice and driving state monies. Some highlights from the study are as follows:

- Ninety-two percent of the states administering the SSIG program indicated that its elimination would affect their state need-based grant program. There was virtually no difference in response by size of state.

- Roughly 25% of the states reported that elimination of SSIG would mean the elimination of their state grant program as well.

Typical of the written-in comments we received by survey respondents was the following:

- "We have continually tried to increase state appropriations in our grant program, but have not had much success. If federal funding for SSIG would be eliminated, I believe it would be years before those funds could be picked up by our state."

Conversely, the survey also asked what impact the 7% increase in SSIG funding that occurred between FY'90 and FY'91 had on the state. Some highlights are as follows:

- Even in these dire economic times, nearly one-half of the states reported that their state student grant program realized additional student awards.

- Despite budget problems, one out of every five states reported that their state legislature had increased state funding for their student grant programs.

Several written-in comments for the survey suggested that federal funding in the SSIG program acted as a signal to the state legislatures as how to provide funds for student grants. If SSIG appropriations were increased, it was more likely that state legislatures would add money to their state grant program. Conversely, downward trend in SSIG funding resulted in downward pressure by state legislatures. Thus, it appears that the leveraging effect of federal funds is quite strong within the SSIG program. This fact was confirmed in a 1990 survey by NASSGP of its members which showed that 75% of responding states reported that if federal SSIG funding were increased above $75 million, they expected their state legislatures would find new money to match the increased funding.

I think you can agree from the survey responses that the presence of the State Student Incentive Grant Program is a continuing incentive for improving the ability of needy people to attend postsecondary education. States who have responded to the incentive provided by SSIG may not be able to sustain it without it. Many people that I have spoken with who have initially criticized the SSIG program for having overstayed its welcome, and not inspired states to increase their funding, seem astonished to learn that there is a maintenance of effort requirement which must be met. In fact, because of a severe recession in one of our member states, it may not be able to receive SSIG funds this year because its legislature could not come up with the funding.

Earlier, I described the $2.00 in financial aid for every $1.00 in federal investment which is the minimum for SSIG participation, but in actuality, the program drives much more than that. In fact, when you look at the state expenditure figures and how they have changed over time since SSIG has been in existence, you would find that the multiplier effect is more like 10 or 15 to one. Simply put, it is more cost-effective than any other competing Title IV grant program. In a simple example, if you put $50 million more into the Pell Grant Program, you get $50 million more in financial aid for students. If you put $50 million into the SEOG program, you get $59 million in additional financial aid for students. However, if you put $50 million into the SSIG program you get at least $100 million more in financial aid for students. Some might say it is the best deal in town!

Just recently we learned that one reason for the lack of appropriations support for SSIG was due to the fact that the states were "too efficient" in drawing down the federal funds early in the fiscal year, resulting in a "spend out rate" which is greater than for any other Title IV program. The problem appears to be a regulatory inconsistency which permits such drawdowns. We are working with the Education Department to correct this "problem." And, I am coordinating a voluntary slow-down of SSIG funds drawdown through NASSGP.

On April 8, 1991, NASSGP provided this subcommittee with specific recommendations for enhancing and improving the SSIG program. Several of them are similar to the recommendations provided by a 15-member educational association SSIG coalition which was headed by the American Council on Education. The NASSGP recommendations include:

1. The Higher Education Act should be modified so as to renew emphasis on grants over loans by discouraging Stafford loan and prohibiting SLS loan borrowing by first year undergraduate students and enhancing SSIG and Pell grant amounts for them. By using the SSIG program to implement such a concept, federal costs could be limited.

2. Authorization levels for SSIG funding should be increased to $100 million per year, and increased by an at least appropriate measure of inflation in subsequent years. I should point out that this funding level recommendation would not even bring SSIG's purchasing power back to the levels it was at in 1980. It is indeed a modest increase.

3. During years when federal funding for the SSIG program declines from the prior year, participating states should be relieved of three-year maintenance of effort requirement now found in Section 415C(b)(8) of the federal Higher Education Act. States that are barely able to meet the 50% matching requirement of SSIG have, in fact, been required to provide more than 50% of their SSIG allotment during years when federal funding declined for the program. This seems, on the surface, unfair and inequitable.

4. The maximum allowable grant in the SSIG program, as specified in Section 415C(b)(2) should be increased from the current $2,500 to $5,000 per year to recognize the increases in awards that have been provided by state grant programs.

5. To encourage new state aid expenditures, Section 415C(b)(8) should be revised to say, "Except that for years in which more than $75 million is appropriated, states shall receive more than that amount designated in Section 415B only if total state appropriations for all need-based grants exceed the prior three years' average. This recommendation would establish a two-tiered SSIG funding allotment, and states would be able to enjoy the second tier of enhanced funding only if their total state appropriation for grant aid were increased.

NASSGP is also supportive of the recommendation provided by the American Council on Education on behalf of 15 other educational associations which calls for $100 million in SSIG authorization for the current program, and a new authorization of $85 million to serve as funding for a pilot early intervention program to be administered by the state agencies that now administer the SSIG program. We are excited about the potential of this recommendation, and look forward to assisting in the implementation and assessment of the pilot program so that the best working parts of it can be incorporated into a full-scale national program. One such model to consider is found in H.R. 2350, the National Liberty Scholarship and Partnership Act which was introduced by Congresswoman Nita Lowey, a member of this Subcommittee, on May 15, 1991.

In conclusion, I commend to you the NASSGP recommendations for the State Student Incentive Grant Program. I believe there is general agreement within the educational community in Washington, D.C. and nationwide, that: (1) the program works well in providing access and choice to hundreds of thousands of Americans coast to coast; (2) funding for the current program should be expanded and sustained; and, (3) the excellent administrative framework provided within the SSIG statute be used to pilot test other promising concepts such as early intervention programs. We urge you to consider such options as ones which will supplement, and not supplant the current SSIG program as it is serving over 260,000 students per year in a tried and true fashion, and should not be replaced by a program concept that is yet untested nationally.

Thank you for the opportunity to testify on behalf of the National Association of State Scholarship and Grant Programs.

Chairman **Ford**. Thank you very much.
Mr. Ronald Atwell.

STATEMENT OF RONALD ATWELL, VETERANS COORDINATOR, UNIVERSITY OF CENTRAL FLORIDA, ORLANDO, FLORIDA, AND PRESIDENT, NATIONAL ASSOCIATION OF VETERANS' PROGRAM ADMINISTRATORS

Mr. **Atwell**. Mr. Chairman and members of this committee, on behalf of the National Association of Veterans' Program Administrators, I want to thank you for the opportunity to share our position and recommendations on the Veterans Education Outreach Program grant.

The Veterans Cost of Instruction Program was conceived to address the needs of Vietnam veterans. The grant was to supplement the cost of establishing an Office of Veterans Affairs and to provide for outreach recruitment, counseling, and retention programs for veterans. Special emphasis was placed on disabled and educationally disadvantaged veterans.

The VEIP program evolved into the Veterans Education Outreach Program or VEOP. This program still focuses on Vietnam, disabled, and educationally disadvantaged veterans. It does, however, recognize that post-Vietnam era veterans also benefit from these services.

To illustrate this, in 1990, this last year, the Department of Education published a report recognizing 37 exemplary VEOP programs throughout the Nation. These programs included outreach activities, special counseling services, support groups and veterans clubs, special academic skill-building programs, and tutorial assistance. As president of NAVPA, I can assure you that there are many more schools with equally laudatory programs.

The important point is that these programs were developed and maintained with appropriated VEOP grant funds, which I might add are approximately one-eighth of the VEOP monies called for in the grants. As you might well expect, to fund an Office of Veterans Affairs and the programs and services that they offer requires a significant commitment from colleges and universities. NAVPA's concern is that without this commitment from Congress to support the VEOP grant, these programs and services might be lost.

The Department of Education believes that VEOP has served its purpose and veterans can be mainstreamed into the educational institutions. We in NAVPA do not agree. The U.S. Department of Veterans Affairs projections reveal that the number of students receiving education benefits is expected to climb to more than 600,000 by the year 1993.

Further projections have been made by the Department of Defense which suggest the release of an additional 500,000 service members over the next 5 years. Most of these individuals will need education. However, statistics prove that the people who are now eligible for the veterans education benefits are not entering school. VA statistics indicate that something like 23 to 25 percent of the eligibles are using benefits, and those that do use the benefits, 60 percent of those start within the first 2 years.

So outreach is still definitely needed. As an example, there is a major thrust today to have a concurrent program of application for college along with enlistment into the Army. The program is called CONAP, and the sole purpose of CONAP was designed to increase the utilization rate of the GI Bill.

The programs funded by VEOP do make a difference. During Operation Desert Storm, the veterans coordinators assisted veterans and Reserve and National Guard members who had to drop out of school to enter active duty. This assistance included everything from being the single point for information on withdrawals, grades, refunds, to establishing support groups for friends and family.

Now that the war is over and these students are returning, veteran coordinators are working on their behalf to resolve grade and other admission, academic, and financial problems. I would suggest that as we get further and further into the return of these veterans, we are going to find out that they, too, suffer from many of the same problems that the Vietnam veterans suffered from.

In conclusion, the VEOP program is maturing past the Vietnam era in which it was conceived. There is a need to continue the program but at a higher funding level that is seen in today's budget. However, the VEOP program, even at its present funding level, provides an incentive and a statement of Federal concern which encourages colleges and universities to maintain visible offices of veterans affairs.

A new generation of veterans have arrived on campus, but they still require one-on-one, up-front counseling and support during their academic careers. The VEOP program needs to be maintained to assist these new veterans.

Mr. Chairman, I thank you for the opportunity to speak today.

[The prepared statement of Ronald Atwell follows:]

Statement before the
US House of Representatives
Committee on Education and Labor
Subcommittee on Postsecondary Education

REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

June 18, 1991

SUBMITTED BY
Mr. Ronald H. Atwell
President

NATIONAL ASSOCIATION OF VETERANS' PROGRAM ADMINISTRATORS

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The National Association of Veterans Program Administrators is an organization representing over 500 institutions of higher learning from throughout our country. Member institutions are among those which currently serve veterans and their dependents using educational benefits under the many US Department of Veterans Affairs (VA) programs. (See attachment A)

US Department of Veterans Affairs projections reveal that the number of trainees under the various Chapters of the GI Bill is expected to climb from the 442,000 individuals in training during 1987 to more than 535,000 in 1990. This represents an increase of 21% over 1987.

Desert Storm and Projected Reductions in Force

Further projections have been made by the Department of Defense which suggest the release of an additional 100,000 troops per year over the next five years. Statistics indicate that veterans are most likely to enter an educational program within two years from the date of their release. The recent Desert Storm activities have made veterans of many of our reservists. The VEOP program is needed today!

We have all listened to the commercials which tell our young people to "be all that they can be" and we see the youthful collegiates using their GI Bill benefits on TV. As a nation, we have legislated, promoted and sold this program to the half a million users of the GI Bills. Our nation has a specific responsibility to help these individuals to actually enter training and realize the education that we have promised them.

History of the VCIP/VEOP Programs

The Veterans Cost of Instruction Payments (VCIP) Program was conceived to address the needs of returning Vietnam and Vietnam-era veterans. Veterans needed assistance in entering an educational setting, in securing their often delayed benefits from the Veterans Administration and to start and continue the use of their educational benefits. The VCIP program was desinged to focus on the needs of disabled veterans. The program based its payments on the nubmer of veterans who were receving GI Bill payments and it allowed an additional amount for those who were disabled - recognizing that they may need special assistance to assure that they were allowed equal access. The program was historically underfunded, but still had a dramatic impact on the availabiltiy of on-campus programs.

The VCIP program evolved into the Veterans Education Outreach Program (VEOP). Payment for this program is based on the number of honorably discharged veterans enrolled at participating institutions. A higher allowance is paid for disabled veterans, and an even higher rate was allowed for veterans training under Chapter 34 or Chapter 31. Unfortunately, the concept of an "additional allowance" for disabled veterans was lost due to the language of the legislation which established the VEOP.

DISAPPOINTING RATE OF USAGE OF GI BILLS

The GI Bill has a 40 year history of excellence. Today, the Montgomery GI Bill is an incentive for young people to serve in the armed forces, and the Army boasts that over 90% of the enlistees participate in the program. However, of the people who are now eligible to use this program, it is acknowledged that the usage rates for these benefits are a disappointment. There is a major thrust today to encourage the concurrent application for college with enlistment in the Army to improve the rate of GI Bill utilization.

The VCIP and the VEOP programs have served and continue to serve their purpose, but the lag in usage speaks to the fact that the work of outreach is far from complete. The GI Bills have been credited with returning up to 10 times the investment made by the public in these programs in additional tax revenues generated by those who benefited by the GI Bills. It has repeatedly been credited with being one of our nation's best investments. The return on that investment can only be realized if the program is used.

The military's projected reduction in force coupled with the needs of the soldiers returning from the Persian Gulf War speak to the need to continue and upgrade the current VEOP program.

Education Promised for National Readiness

Our young veterans have taken several years out of their lives to stand ready to defend our country. We are proud of our soldiers who served in the recent war in the Persian Gulf as well as all those who stood ready to serve both before and during that conflict. As our talented young people stand ready to serve, the time that they lose is a time when their peers have continued in school, and in that arena, their colleagues have forged ahead.

During that same time, educational institutions have "enhanced" their entrance requirements. The Veterans Education Outreach Program is a public policy which is designed to assist veterans in recovering from the disadvantages which were imposed on them by virtue of their service to our country. The VEOP program is needed to help restore veterans to eligibility for entrance to and success in higher education.

Small Federal Investment Yeilds Large Program Returns

The VEOP program is a very small investment on the part of the Federal government for which we receive a very large return. Institutions have responded in a positive and affirmative way despite of the low level of funding. Funds are used for training of staff and to provide specific services to veterans. The average grant is about $6,000 to the approximately 500 participating institutions. For that small investment of $2.83 million, the institutions provide a visible Office of Veterans Affairs staffed by a knowledgable veterans coordinator. Usually, the veterans certification function, outreach and retention is provided through this office. The small grants under this program provide a large incentive to retain the expertise of a veterans coordinator.

Why is this expertise needed on campus? The US Department of Veterans Affairs has been struggling for many years with an overpayment problem. Properly trained and dedicated certifying officials are the first line of defense in minimizing overpayments. The same holds true for the prevention of school liability. The VA holds institutions liable for overpayments which are received by students when untimely or inaccurate certification play_ a role. The presence of a knowledgable certifying official minimizes this problem.

The VEOP program encourages outreach and counseling for those training under veterans programs and helps students to deal with the bureaucracies which play a role in their receipt of VA educational benefits. Today's veteran must comply with the policies of the Department of Defense, the US Department of Veterans Affairs and the Educational institution itself. When the DoD and the VA began implementation of the Reservists GI Bill, college veterans programs responded in direct support for the DoD's Chapter 106 program. There were many implementation problems, and the offices which are funded by VEOP grants served as a point of focus for all these students - even though the VEOP funding formula does not presently include this segment in its program counts.

VA Education - A Complex System

The rules and regulations of Title 38 which relate to the Veterans Educational programs are extremely complex and restrictive. To insure correct administration of these benefits, it is imperative that qualified coordinators are retained and trained. The VEOP program has served as an incentive for this process at over 500 institutions.

The Mandate for "Upfront" Counseling

It was recognized by the Commission to Assess Veterans Administration Policy (PL 99-576), and then by the Congress in several pieces of legislation, that servicemembers and veterans required specific counseling regarding their educational benefits and responsibilities. The Commission visualized "one-on-one" counseling for the student as they entered training. Congress imposed and unspecified counseling requirement. The US Department of Veterans Affairs responded with pamphlets and an annual letter of responsibility. The Department of Defense responded with an enhancement to their outbriefings. The fact still remains that these students still require what the Commission recommended, one-on-one counseling regarding their VA benefits and their special requirements in an educational setting. The Campus based VEOP programs provide this type of service to those students. The VEOP funded office can provide visible and viable service at convenient times and places for students. The campus VEOP office is in the best position possible to help students understand their responsibility to the DoD, the VA and the educational institution - all participating in a partnership.

A Demonstration of the Federal Committment

Visible and viable Offices of Veterans Affairs would disappear from campuses without the incentive provided by VEOP or a similar program. The involvement of the federal government tells the institution that this is a national priority - this is important. Without this message, it is likely that qualified coordinators would be moved to other programs, and that veterans affairs would be reduced to a simple certification function.

Not A Duplication of Services

The VEOP does not duplicate other federal efforts. VEOP is specifically directed to the needs of veterans in an education setting. These needs center around awareness of VA programs, assistance in re-entering the educational environment and assistance in starting and keeping VA benefits running. The VA has specifically stated that they will not do outreach in education programs. The VA cannot certify attendance for schools, they are not designed to work on problem resolution with the DoD, they are not near enough to the students to work on debt avoidance and debt prevention. Given the complexity of laws and agencies relating to VA benefits payments, they are not in a position to "tie it all together".

Veterans need a distinct program. Unlike any of the preceding GI Bills, students served by today's veterans programs must work with the Department of Defense, the Department of Veterans Affairs and the Institution of Higher Learning. Certification and the program approval process are complex. The requirements of all three bureaucracies must be met to insure the benefit payments that were promised to them. Often, the missions of these three segments are in conflict.

Because of their military experience, this group self-identifies - they are VETERANS. It is difficult to have them identify themselves as "Re-entry" or "displaced" and to receive services from these programs.

Unlike other students, veterans are keenly aware that they are ENTITLED to an earned benefit. They made an investment in the GI Bill with direct payments or pay reductions. They realize that it is not financial aid - they won't take no for an answer and tend to be outspoken. A viable veterans program helps to reduce incidents of misplaced hostilities.

The Role of the Department of Education

The Department of Education is the right place for this program. The US Department of Veterans Affairs has made it clear that it intends to not do outreach, citing that it is already over-burdened. To place the program under their direction would be incestuous. It must be placed outside of the control of the VA because of the temptation to decrease "outreach" to save program dollars. By keeping this program in the Department of Education, a balance is created which prevents this problem.

The Impact of the VEOP Program

The Veterans Education Outreach Program makes a difference. At institutions across the country, there are many cases where students could not have entered and continued training without the intervention of the VEOP office.

One California Vietnam veteran, suffering from Post Traumatic Stress Disorder had worked on his degree off and on for over 5 years. He was two classes short of graduation. He was having great difficulty facing those last two classes. The coordinator and a VA work-study staff member literally held his hand, helped to adjust course requirements to meet his needs, and gave him a safe haven on campus. He graduated, then went on to complete a Masters Degree program and has become very active in the community.

Yet another veteran was discharged early with a medical disability. She was not eligible for benefits though she had her pay reduced for the Montgomery GI Bill. The VEOP program director brought this inequity to the attention of the House Veterans Affairs Committee, and legislation was passed which allowed veterans benefits equal to the number of months served. Then, with the coordination of assistance from the County Veterans Service Office, the veteran received a disability rating from the VA and now is training under the VA's vocational rehabilition program. She has indicated many times that she thought that she had no eligibility for any VA programs. Because of the veterans program funded by VEOP, she is able to pursue a degree and become a contributing member of our society.

Another common situation would be admissions requirements passing by the servicemember while they are on active duty. The Veterans Affairs program can help these individuals access exceptional admission programs or specific remediation.

These types of stories are generated daily in our veterans offices. When multiplied by the number of participating institutions, it becomes very clear that the VEOP programs have a significant impact on the lives of veteran students throughout the country.

WHERE SHOULD THE VEOP GO FROM HERE?

The VEOP program continues to be effective and meaningful. Emphasis needs to be placed on its transition from being a program that served Vietnam era veterans, to a program which serves all persons who are potential users of any of the GI Bills. The need still exists to inform veterans of their benefits, give students access to one-on-one educational counseling and to assist our veterans in the effective use of these meaningful benefits.

Simplification of the Counting Process

When the VCIP program was transformed into VEOP, it was thought that counting honorably discharged veterans would be a simple, effective means of gauging program size for the grant distribution process. In fact, it has been difficult and cumbersome. It is often difficult to obtain discharge documents, there has been confusion on what is required to be auditable and it is a count which is not usually maintained by the institution.

One option would be to count the number of students presently using VA educational benefits. This count would more accurately reflect the number of students directly served at an educational institution. Because of its simplicity, it would be highly auditable. This is a statistic which educational institutions already use and would not require an additional counting process.

Since the program has never been fully funded - the funding formula is a relative number. Because VEOP is an outreach program, we must continue to recognize that the actual nubmer of veterans served is much higher than the number of students actually enrolled in the institution. Counting GI Bill recipients is equally valid to counting honorably discharged veterans. Consideration could also be given to supporting services for our standing reservists and perhaps to the children of deceased and disabled veterans, making the program consistant with the VA's Title 38 programs.

A New Approach - ConAp

Realizing that enhanced usage of the GI Bill will occur if military enlistees have a concrete plan to attend college upon their release from active duty, the Servicemen's Opportunity College has unveiled the Concurrent Admissions Program. This program encourages participating institutions to "admit" students to college as they enlist for military service. The institution must then maintain outreach contacts with these students and provide advising and counseling during their military service. This places an additional financial burden on the educational institution for which no funding is available. The VEOP program could be modified to allow this type of service to active duty servicemembers. Present law allows only service to veterans.

Funding Levels

We have experienced deterioration in all of the Department of Education programs which were designed to serve veterans. We, as veteran service providers are faced with a situation which is somewhat analogous in time to a period immediately following the Veitnam War. The Department of Veterans Affairs has conservatively projected that 350,000 veterans will receive training under the GI Bill in 1991 and that the number will rise to over 600,000 by 1996.

Educational institutions have downscaled their programs because of the low numbers of trainees. If the VA's projections are correct, we are sadly unprepared to meet the educational and career needs of our nation's veterans in the next decade. Strong consideration should be given to funding the VEOP program at a higher rate.

CONCLUSION

The VEOP program is maturing past the Vietnam era in which it was conceived. There is a need to continue the program, but at a higher level than is seen in today's budget. The VEOP program, even at it's present level of funding, provides an incentive and a statement of federal concern which encourages participating colleges and universities to maintain visible Offices of Veterans Affairs. It is likely that without this support, these programs and their expertise would vanish.

A new era of veterans have arrived on campus. They still require one-on-one, upfront counseling. The VEOP program needs to be updated to address their specific needs. Charging these programs with assistance to active duty personnel is an important step.

Streamlining the counting process to count GI Bill recipients under all the Title 38 programs as the basis of fund distribution would reduce campus workloads.

NAVPA appreciates this opportunity to present these views before this committee. Our organization would be please to provide this committee with any additional information which may be rquested.

Chairman **Ford**. Well, we have poor Mr. Childers delivering the administration's message again. He has delivered several messages and survived, so he has proved that we are not like the ancient Greeks.

We do it in reverse. Mr. Atwell, he wants to abolish your program. What do you say to the reasons the administration gives in its statement for abolishing your program?

Mr. **Atwell**. I have not seen the formal recommendations in writing, so I have not had the opportunity, but my understanding is that they feel that——

Chairman **Ford**. Hold it. Mr. Childers, can you tell him quickly what the rationale for abolishing the program is?

Mr. **Childers**. It is a small program. There are other larger programs that provide similar type services: the Student Support Services programs on over 700 campuses, the Veterans Department itself provides programs and services, the military branches themselves provide exit counseling and make sure that outgoing veterans are aware of educational opportunities and the uses to which they can put their funds.

It is a question of our goals are the same, but the thought is there are better ways to do it.

Chairman **Ford**. Now, Mr. Atwell.

Thank you, Mr. Childers.

Mr. **Atwell**. I would like to go back to what my comment was before. The VA—Congress has recognized the need for counseling. There are programs that have been established by the military with the Department of Labor——

Chairman **Ford**. Just a moment. The Veterans Committee has recognized—I want to make it clear, as a GI Bill college student, I have no prejudice against veterans programs. I am very grateful for them. But they are veterans programs. There was a reason at the time that we enacted this little program that you are now involved in. It was that we were having a terrible time convincing the body politic around here that we should provide Vietnam veterans anything close to the kind of opportunities that we had from World War II and the Korean War.

The public and the body politic was unwilling to treat Vietnam veterans the same as we were treated. And we had other student aid programs. We said if they are going to have to get out there and compete with everybody who didn't have their life interrupted by going to Vietnam, we ought to give them some extra help. And really what we were trying to help them get was not veterans educational programs, was it?

Mr. **Atwell**. No, sir.

Chairman **Ford**. It was the same kind of education programs that TRIO is trying to find for their people. We have just created a new category of people who ought to be helped to get the other programs.

In the meantime, since the all-volunteer armed forces, we are giving out contracts for education benefits like they are going out of style as incentives for people to enlist, as incentives for people to stay in. We even make contracts to educate their children in the event they already have their own educational goals attained. And we have all these other things that have happened in the meantime.

Now, how do we quarrel with the administration when we say that its reason for being no longer exists?

Mr. **Atwell**. Mr. Ford, I——

Chairman **Ford**. You just mentioned, for example, what a wonderful opportunity was presented to your people to work with the reservists returning from Desert Storm. Where in the world did you get a commission from us to fool with Desert Storm? Now, this is no disrespect to anybody in Desert Storm, but there is an already existing structure to take care of their problems, both because they are veterans and also because they continue to be reservists or guardsmen when they come back.

Why would you be over there meddling in the Veterans Administration and the military's backyard with this program which was designed to make sure that before their benefits finally came into being Vietnam veterans would get something? This happened to be one of the committees that thought that Vietnam veterans should be treated like other veterans. Now, everybody will tell you today that that was common in this town, but everybody who was in town in the 1960s knows it wasn't common.

Nobody liked the way they were fighting their war. They didn't fight it the way we fought our war, and "To hell with them," was the attitude. And we created some of these things because it was the only place they could get a sympathetic hearing. Now, if it was more money, I would really get upset, but it is only a thimble full of money that is keeping this going.

But I am going to be disagreeing with the administration enough this year; I have real difficulty answering their criticism of a continuation of a program that has no visible evidence of need. Can you give me one?

Mr. **Atwell**. Well, Mr. Ford, I'd like to, but, apparently, my view on——

Chairman **Ford**. Am I wrong in suggesting that you were never intended to be ladling out veterans benefits as such?

Mr. **Atwell**. No. It is just that the two go hand in hand. When we talk about retention and keeping a veteran in school, I think financial aid, that part of it, is an important aspect of it. Obviously, if the person is not receiving their education benefits, that is a concern of the veterans office just as if the person needs counseling for——

Chairman **Ford**. Ah. When I went in the service, there was no GI Bill. While I was in the service, Congress passed something that got to be known as the GI Bill. But when a young person in my district goes into the service now, they sign a contract in advance with the military for education benefits. They don't go in and then have a program occur while they were absent that they have got to be told about and coaxed. That's a part of the quid pro quo for them putting their body on the line.

Now, how do you fit into that kind of a veterans benefit? What do we need your—I'm not picking on you individually—what do we need this program for at this point?

Mr. **Atwell**. Well, the outreach is the major issue that we are most concerned with, the lack of usage. We don't know why the people are not using the benefits, but we know that they are not, and we are concerned that——

Chairman **Ford**. The lack of usage of what benefits?

Mr. **Atwell**. The education benefits.

Chairman **Ford**. Well, that's not your job. You were supposed to get out there and help a group of people who weren't being affected. Now you are spending your time with people who have contractual obligations going in that spell out what their benefits and rights are. And I think I'm just going to have to look more sympathetically at the administration. I need something to give them anyhow, and maybe your program is the thing.

But I will give you all the time you want to tell the committee why we need this program, consistent with its reason for being.

I promised at the very beginning of this reauthorization that I would not fight for anything just because I helped to write it, and we have been doing it that way. And bigger programs than yours, if we are going to be consistent and intellectually honest about that, are going to bite the dust. But I want every program that the administration tells us we don't need to justify themselves.

Now, Mr. Hynes, you tell me how you respond to Mr. Childers' message about abolishing SSIG.

Mr. **Hynes**. Certainly, Mr. Chairman. I noted the three points that were presented this morning, and the first two I believe are equally valid as arguments for continuing the SSIG program. The first one that was mentioned is that when the program was established, SSIG was established, only a few States had programs, and now every State and six of the territories have student financial aid programs.

That is a testimony to the success of the SSIG program, and we believe that it continues to be a continuing incentive. It was not a one-time incentive. There is no mention of seed money being provided for States to establish a program. It's an ongoing incentive.

The second item that was mentioned was that States now so much overmatch the SSIG contribution. That is true with many States but not all States. Some States are matched at 50/50, and in some of those States we believe that the programs are likely to fold completely. Not only would those students lose the 50 percent of the funding provided through SSIG, but it is likely that the 50 percent provided by the States would fold and we would be back with fewer programs and some States not having student financial aid programs.

The third comment was that SSIG has achieved its purpose. It has achieved a purpose, and the purpose was to establish programs in each State, and it continues to do that each year and provides its purpose, provides grants to students each year that students receive grants through the SSIG program.

It is a continuing incentive, in our view, and its elimination now would eliminate grants to students, $63 million. There are 260,000 students whose grants are partially funded by SSIG, not all would lose their grants, many would. Certainly, many more students would lose partial grants.

Chairman **Ford**. I found the reasoning of the administration very interesting but not very persuasive on this one. There is a parallel. When we reauthorized vocational education the last time, the people at OMB, who obviously are behind these proposals, even the one attacking his program, said, since the amount of money that the Federal Government provides for vocational education represents such a small percentage of the total, we can abolish Federal funding for vocational education. It will have no effect.

People from all over the country came in and told us that this, the oldest, continuous game in town of Federal encouragement for States to make a greater effort in vocational education was absolutely essential. Even though it was only providing 7 percent of the total dollars, if you pulled it out, the State money was going to wither away too.

Let me ask you, Mr. Hynes—you are New York State?

Mr. **Hynes**. Yes, I am.

Chairman **Ford**. How much does New York get from the Federal Government under this program?

Mr. **Hynes**. This year it will be just over $5 million.

Chairman **Ford**. Doesn't that mean that the New York budget people recognize going in that there is $5 million that they have to spend or they are going to lose it?

Mr. **Hynes**. Each year I make a presentation, and it is specifically written in our presentation to the legislature and the Governor regarding our estimate of what we will receive under the SSIG program. Yes, they do recognize that we are funded and, in addition, not only that the money must be provided to match that, but that there is a 3 year maintenance of effort.

New York had a program in existence when SSIG was established. It was very generously funded at the time at around $90 million. That serves as a base. We have to meet that effort. In addition, we have to meet the 3 year average for the previous 3 years, the average that New York State has provided to students, we must maintain that maintenance of effort. And that is also—I believe they are fully aware of that requirement also.

Chairman **Ford**. You are a State that overmatches the Federal money?

Mr. **Hynes**. Yes, we do.

Chairman **Ford**. Would you continue to overmatch if there was no Federal money?

Mr. **Hynes**. We would continue our State program. A portion of it, equal to the SSIG program, would either be abolished, there would be fewer grants, or all the grants that are matched with the Federal funds could be reduced. That would be a decision for the legislature, but it has happened in the past, and it could happen under this program too.

Chairman **Ford**. You are speaking here for a national group.

Mr. **Hynes**. That's correct.

Chairman **Ford**. In how many States is the Federal money significant enough to continue to be a reason why they have to appropriate their own money to stay in the game?

Mr. **Hynes**. There are about 14 or 15 States, about 8 of those, it represents about 50 percent, where over 40 percent of their grant money. So there are about 8 States that could potentially lost the entire grant program if the Federal portion were withdrawn and the legislature no longer provided the funds to meet that.

Chairman **Ford**. How many States do not have an SSIG program because they don't match the Federal money that would be available to them?

Mr. **Hynes**. All States have an SSIG program, all 50. This past year, there was one State that faced a problem with coming up with their maintenance of effort requirement. I understand, in recent months, that that has been resolved. There was another program, a year ago, where their State situation seemed to require that they might not appropriate funds, and they faced a loss of theirs. But, currently, all 50 States have SSIG programs.

Chairman **Ford**. Well, one of the strong pieces that the administration recommendation has in it is the same thing that I just offered Mr. Atwell. I would offer you the opportunity to tell the committee why the administration is wrong when they say this program has served its purpose, and we don't need it anymore, to dwell specifically on what the consequences of eliminating the program might be that are inimicable with the best interests with the postsecondary education experiment supported by the Federal Government.

Within a reasonable amount of time, you can have as much time as you want, but I think you have to answer that question. We cannot, in good faith, say we are going to look at all these programs and then say no every time the administration tells us that one has served its purpose. They don't generally expect that all of these proposals are going to be passed, because my gut suspicion is that this wasn't written or initiated in the Department of Education; it was initiated in OMB, and OMB never saw a Federal education program they liked, no matter which administration is in.

So that's where we really have the problem.

Mr. Mitchem, you didn't, obviously, have the privilege of seeing the administration's proposals for this kind of a block grant approach to TRIO beforehand. I wonder if we could ask you and your organization, on behalf of the other members of the committee, to critique that proposal more specifically.

I have a little trouble with the supporting language that says what we really want to do—it's familiar language; goes back to the Nixon years—what we really want to do is put this money down where local judgments will be substituted for national judgments, because, after all, they know which part of the population in which part of the State needs the program most.

On the other hand, as I am talking, the Secretary of Education is upstairs, I am reliably informed, telling another subcommittee of this committee that we need national standards, national testing, and a national direction to quality in education, or we're never going to get there.

There is something a little bit inconsistent about the upstairs/downstairs approach to what our future education philosophy should be. I know of no group that has a better grasp of the historical perspectives and the reasons why this program has stayed alive and grown than yours, and I would ask you to give us some response, on behalf of your organization, to the suggestion that this program will somehow be enhanced by transferring the overall policy to a locally-driven policy; in other words, a policy that will be more responsive to the people currently making the most noise in any given State.

That suggests how we go to TRIO in the first place.

Mr. **Mitchem**. It sure does, Mr. Chairman.

Chairman **Ford**. The people who look like me were making the most noise and casting the most votes, and the people who look like you weren't. So we had to have TRIO.

Mr. **Mitchem**. Thank you. You said it.

Chairman **Ford**. And that's really what it comes down to. We are kind of suspicious, some of us, about what happens if you turn lose of a national commitment. Our recent experience here with trying to enact a watered down civil rights bill makes some of us a chary. And I want you and the administration to be more specific for the members of this committee before we bail out on any national commitment we have made to poor or disadvantaged people.

You remember all the trouble we had when—I'll blame both of us, both first-generation college students here—came up with this concept of first generation. There were people in the civil rights movement who said we were trying to change the rules.

Mr. **Mitchem**. That's right.

Chairman **Ford**. Until they began to look at the numbers, and they discovered what we knew, that whether you are black or white, you are disadvantaged if you have nobody to tell you that there is a place called "college" that you can aspire to. And we came up with this concept of first-generation; it wasn't easy to sell. It seems to have worked as a screening device—and they are all screening devices.

So I am not sure that in every State they would be willing to do first generation considerations or to pay the same attention that the national program does. You might add any comments you have as criticisms of the administration of the program from the administration.

And, Mr. Childers, as we follow up with the administration—we're not saying, you made your shot, now we're going to shoot you down. You can fire back when we get something from them, too.

Mr. **Mitchem**. We will be happy to prepare a statement, an analysis, Mr. Chairman.

Chairman **Ford**. Thank you.

Mr. Andrews.

Mr. **Andrews**. Thank you, Mr. Chairman.

Mr. Childers, in the administration's proposal to take, as I understand it, four of the TRIO programs and put them into a block; is that correct?

Mr. **Childers**. Yes, sir, that's correct.

Mr. **Andrews**. What level or authorization is the administration recommending for the new block grant program, and how does that compare to the present level of authorization for the four separate TRIO programs?

Mr. **Childers**. We are proposing an increase, Congressman, in that consolidated program for next year, and we would propose that we go to a level of $253 million in these precollege outreach programs, from the current level of about $207 million. In general, the administration is suggesting an increase of over $50 million in the TRIO programs, the most of it would be—the bulk of it would be for these precollege access programs.

Mr. **Andrews**. Can you estimate for us how many more students and families would be served by this increase?

Mr. **Childers**. The best estimate is—it's hard to estimate—we estimate about the same number of students.

Mr. **Andrews**. There would be a $46 million increase but the same number of students?

Mr. **Childers**. About 400,000 to 500,000 students.

Mr. **Andrews**. But you wouldn't be anticipating an increase in the number of students helped by this?

Mr. **Childers**. I really—I am fumbling a little bit here, Congressman. I don't have a hard estimate for you on that at the moment.

Mr. **Andrews**. I wouldn't expect you to have a hard estimate of it, but if the Department could, in the future, provide us with a estimate, I think the committee would appreciate that.

Mr. **Childers**. We would be happy to.

Mr. **Andrews**. The reason I asked the question, it gets to more than just a narrow, technical point, there is a track record of the service that these four programs can provide and what we can reasonably expect they will provide when we put a dollar into the program.

Despite some of the intuitive attractiveness of the flexibility ideas behind block grant, one concern I would have is, how do we know who will be served and how many people will be served by an idea which has no track record and has no history? Can I have a level of assurance or confidence that, by spending $46 million more, that there will be better quality of service to more people, and, if so, what is the basis for that confidence?

Mr. **Childers**. Well, one of the reasons for this, Congressman, is to attempt to target funds to where the really needy populations are. The historical pattern of the TRIO grants in these programs is just that, an historical pattern. Schools that have been in for a number of years have an advantage in competitions, and our awards do not very well reflect population shifts within this country.

For example, in the Educational Opportunity Centers program, we have 40 of those programs altogether across the country, three of them are in Georgia, three of them Tennessee.

Mr. **Andrews**. How many in New Jersey?

Mr. **Childers**. But in—I will certainly get you that in just one second.

Mr. **Andrews**. Mr. Payne and I think that's a very crucial question.

Mr. **Childers**. But just to take another State at random, Michigan only has one Educational Opportunity Center. Pennsylvania only has one. New York only has one. And two very large States have none, Illinois, and the largest State of all, California. And that is just because, obviously, the populations there that need assistance are there, but they have trouble competing.

It is true in other programs, as well, Congressman. So one of our thoughts about these areas is to try and figure out, working with a committee, better ways to distribute TRIO funds to where the disadvantaged, needy populations really are.

Mr. **Andrews**. Now, do I understand that one of the aspects of this proposal is that the State by State allocation of the block grant would be tracked on the Chapter 1 funding, so that if a State has 3 percent of the Chapter 1 students in the country, it would get 3 percent of the TRIO money?

Mr. **Childers**. Yes, the funds would be calculated on the same basis as funds are calculated for distribution under Chapter 1; that's correct.

Mr. **Andrews**. What is the present experience? Is there a significant disparity between the location of Chapter 1 funds and the allocation of TRIO money? I mean, the model suggests that you are correcting a present maldistribution. Is there such a maldistribution?

Mr. **Childers**. I think the TRIO programs have—the way they distribute funds bears no necessary relationship at all to the number of disadvantaged students that are there to be served, as my little example on EOCs was attempting to illustrate.

Mr. **Andrews**. Right. I understand that they would bear no necessary relationship, but do they bear an actual relationship? What is the present experience? Because it seems to me one of the core points of your argument is that the present system does not adequately target TRIO funds. Well, if we are going to use Chapter 1 allocation as a test of that argument, does it or doesn't it at present?

Mr. **Childers**. Well, I am not any expert on Chapter 1, which is beyond my experience and work in the Department, but it does attempt to provide funds on the basis of the population in that area. The TRIO programs, Congressman, basically respond to a grantee's proposal to provide services to a group of people in the area, but it many not bear any real relationship to the overall needs of the State or the locality.

Chairman **Ford**. Would the gentleman yield at that point?

Mr. **Andrews**. Yes, Mr. Chairman.

Chairman **Ford**. The Chapter 1 formula doesn't figure out how much money Michigan gets and how much Illinois gets. It figures out how much the respective counties within each State get and then cumulates them, and that becomes the State share. Because Chapter 1 doesn't distribute the money to the State; Chapter 1 distributes the money down to the local school district. You don't propose to use the Chapter 1 formula beyond a number that is developed by cumulating the eligibility of the respective counties in Illinois; is that it?

Mr. **Childers**. That's right. It's by States.

Chairman **Ford**. Well, you're doing it backwards. You are taking a program that identifies people where they are educated in a local elementary school, on the presumption that people attend an elementary school someplace near where they live. The correlation between low income and compensatory education under Chapter 1 is an assumption that a high concentration of low income will predict a relatively high concentration of children needing supplemental education. That may or may not be true, but it is by and large true, and it is the best formula we could come up with.

But, as we told the Department on talking about a portable program based on Chapter 1 for their "Choice" program, it doesn't work that way. We don't identify individual children. TRIO identifies individual potential students and then works with them; does it not?

Mr. CHILDERS. Yes.

Chairman FORD. We put a Chapter 1 program in a school, and then your child and mine and the welfare mother's child are all eligible for the same remedial reading course, if they attend that school and they aren't reading at whatever is determined to be the cutoff point, 2 years behind their peer group, or whatever.

That's not how TRIO works, and you are trying to marry two different kinds of things together here. There is no magic in the formula of Title I. Everybody tries to keep using the formula. But Title I does not identify individuals; it only identifies school attendance areas, and it only identifies them actually at a national level down to the county.

And then when you get into the county that most of my district is in, with the City of Detroit, you have 34 school districts who fight it out amongst themselves about how they divide up the county money. But the money still goes to a building to create a program, which may or may not be accessible to children, depending on whether they attend school in that building. It doesn't identify children with a need, an educational need. That is up to the local people to use their resources for the people they determine to have the greatest need.

So I think the gentleman from New Jersey is pursuing something very valid, that a simply sort of application of the Title I formula doesn't, on its face, make a whole lot of sense, because you are trying to do something entirely different, and you are not trying to find the same population.

Mr. CHILDERS. I would point out, Mr. Chairman, that that is correct. The distribution of funds would be calculated. The grantees under the administration's proposal would still be, as you pointed out is the pattern of TRIO, we would still be identifying individual students to work with, that they were serving. The funding flows would obviously be different.

Chairman FORD. Where do you wash your hands in the process? At what point, when you pass the money out, who do you give it to and then walk away and say, "It's not my job?" The Governor? The State superintendent of public instruction? The State legislature? Who is going to decide where the TRIO funds go after they get into the State, if you don't use the Title I formula all the way?

Mr. CHILDERS. The administration's bill lists a number of assurances that the Secretary would require from the States to assure that the funds would be targeted to low-income, educationally disadvantaged individuals. Obviously, there are a lot of details that would have to be worked out as to precisely what those assurances would be and the absolute mechanisms of the programs.

But it basically is the funds to the States, and the States competing then to institutions of higher education and other nonprofit groups.

Chairman FORD. Then the Governor or Michigan, who has just announced he is going to dump some 600,000 people off of public assistance, could follow that up with an announcement, "To make that up, I'm going to put all the TRIO money in Detroit." That doesn't make any sense, because one program may be serving a different population than the other program. And trading dollars around really doesn't get us to any kind of defensible education policy.

TRIO is working. It is working well. It has built, against considerable resistance in its early days, confidence with everybody. Even the Reagan administration came to like TRIO. Didn't they increase your money? Now, if you could sell people like that that it was working, why do you want to monkey with it?

Mr. **Childers**. Well, we are very committed to similar goals, Mr. Chairman. As you know, this administration, as well, has suggested more funds be put into these programs. We are very committed to these purposes. It is an ever-growing need in this country. I think our goals are precisely the same. What we are talking about today is the best way to achieve these goals that you and I and Mr. Mitchem and the other people in this room have.

Chairman **Ford**. Thank you. I appreciate the gentleman's yielding. I am sorry for taking so much time.

Mr. **Andrews**. No. Thank you, Mr. Chairman.

If I may just build on that last question from the Chairman a bit, here is the concern that I have about the use of the Chapter 1 formula as a basis for the State by State allocation.

In my State, New Jersey, I assume that a Chapter 1 allocation would serve us relatively well. We have a number of large and medium-sized cities that have a lot of Chapter 1 districts that would be receiving that kind of assistance. And I assume that a pot of money would go to New Jersey.

My concern and then my question would be this: We also have pockets of rural poverty throughout our State, very small communities where young people who would be excellent candidates for this kind of program live, who are very remote from the inner cities of our State. I guess the concern that I have is that someone at the State level, be it the Governor or the commissioner of education, might choose to allocate the TRIO block grant money in such a way that the needs of those young people in the smaller rural communities might be overlooked.

So it would be a case where, sure, as a measure of statewide need, the formula serves us quite well, but, once you get down to the State level, what kinds of assurances or safeguards are there that this is going to be a well-targeted, rational, competitive process and not one where you are simply giving either an education bureaucrat or a politician at the State level another patronage goody to distribute? What is going to assure us that this is going to go to the people who need it?

Mr. **Childers**. Yes, sir. First, let me just say your assumption is correct that New Jersey would be a net gainer under this proposal because of your population.

Mr. **Andrews**. Right.

Mr. **Childers**. But any State desiring to apply under this program, there is a provision in the administration's bill that the Secretary will require that a State's application must contain a plan for conducting the competition and awards to all eligible entities within the State. So there remains the secretarial approval of the State's plan for competing these awards.

I think that would help go to your concern about forgetting some parts of the State.

Mr. **Andrews**. Okay.

I was very interested in Dr. Smith's idea about the Super-Pell grant. And, if I understand it correctly, Dr. Smith, the idea is that we would have a higher level of potential scholarship aid for students who participated in outreach programs, making them more likely to be successful students, that there would be a motivating tool. Is that a fair description of the idea?

Mr. **Smith**. That is correct.

Mr. **Andrews**. Mr. Childers, would the administration's proposal be broad and flexible enough to permit a Super-Pell type idea to be incorporated in someone's State plan? If New Jersey decided it wanted to do what Dr. Smith proposes, would it be permitted to do so under the administration's proposal?

Mr. **Childers**. Well, we have taken a different tack on that, Congressman. We have proposed something which has also been called, in some ways, a Super-Pell, which is based on achievement and would have additional funds to be proposed to grant extra Pell funds to students based on achievement as well as the bulk of those funds which would be need-based. We haven't actually talked about putting it specifically into this proposal, but we do agree that there is a place for incentives to encourage people to aspire and to achieve.

Mr. **Andrews**. But isn't it consistent, conceptually, with what you are trying to do here to go to the States and say that they may invoke this Super-Pell concept? I mean, is there anything inconsistent with that?

Mr. **Childers**. No.

Mr. **Andrews**. Okay. The final question I have is about the SSIG concept, which perhaps Mr. Hynes can also help us with this, and that is, one of the arguments the administration, as I understand it, makes is that we will have no net decrease, and in fact we will have a net increase in the aid that is available to students by eliminating SSIG because of the offsetting increase in Pell money, the more than offsetting increase in Pell money.

So rather than pour Federal money into this match program, we will just put more money into Pell, and the volume of absolute dollars of student aid will be greater; is that right, Mr. Childers?

Mr. **Childers**. We're talking about more grant aid. The question is, in what form does it go. That's correct.

Mr. **Andrews**. I have a concern, then, given your administration proposal for the redefinition of who is eligible for Pell that there are going to be some people caught in the switches from this. Is it correct that the administration is establishing the cutoff for Pell at $10,000 family income?

Mr. **Childers**. Congressman, I'm sorry. That is literally the other side of the house in the Department, and I just don't know, precisely.

Mr. **Andrews**. I may be wrong. That was my recollection from some earlier testimony.

Mr. Hynes, my understanding is that would cut out some people who are presently the beneficiaries of SSIG money, would it not?

Mr. **Hynes**. Yes, that's correct, Mr. Congressman. The SSIG program, the needs analysis used by the States, in most cases, is that determined by the State rather than under the Federal programs.

Mr. **Andrews**. Here is my concern: Let's assume that we have a young man or young woman in my State who works for—a single parent making $18,500 a year. It is possible that under New Jersey's mode of analysis, under its SSIG program, that young man or young woman may be eligible for SSIG money. It is my understanding that under the administration's Pell grant proposal, he or she isn't.

So this is not—when the administration says that really this is just a matter of where your aid is going to come from, it's not a matter of who gets the aid, I don't think that's accurate, is it?

Mr. **Hynes**. Well, your analysis is correct that under the New Jersey program the student would receive up to $2,500 under SSIG and nothing under Pell. For those who are eligible for both, of course, one of the items that we would like to emphasize in SSIG is that the student that does receive a Pell grant is also likely, highly likely, to be the recipient of an SSIG award, and that increasing Pell by $50, or $100, or $200 does not make up for the potential $2,500 that he or she may have received under SSIG.

Mr. **Andrews**. My only concern, and I will close with this, is that it is a reasonable and fair debate over whether or not the administration's idea to redirect more Pell money to the very, very lowest among the income groups to the exclusion of everyone else, it is a reasonable and fair debate for us to talk about that.

But I think that in the context of the SSIG proposal, we should understand that that is one of the ideas at stake here, that it is not correct, as I understand it, to say that elimination of SSIG is simply a reclassifying or reaccounting of where the money comes from. Whether it is right or wrong, I just think we need to discuss it in the framework of that question.

Thank you very much.

Chairman **Ford**. Mr. Payne.

Mr. **Payne**. Thank you very much. I am sorry that I missed the testimony, and therefore it makes it a little difficult to follow the trend of what was discussed. But I just have a couple of quick questions, probably to Mr. Childers.

The Educational Opportunity Centers are part of the TRIO program and evidently are supposed to identify low-income students and provide information about available postsecondary schools. I hear from many of the public schools in my district that there seems to be, even though these Educational Opportunity Centers are supposed to be active, it seems that the students primarily hear about proprietary schools that seem to be pretty aggressive in the area. This is an inner city type area.

And, also, probably the most visible in the schools, talking to students about opportunities, are the Armed Services. They have more people unleashed on the high school seniors than anyone, you know, the "Be all you can be" sort of thing, which disturbs me.

What is your assessment of how effective these EOCs are, and are they funded enough to compete with the service? The service tends to come in and get the best of the urban high school boys or girls. They tend to have more people there than the regular counselors. They seem to have better advertisements. They seem to do a better job. And it is unfortunate that, to many students, the military tends to be the only alternative that they have. They don't have to take a loan out. They may get some benefits once they finish their tour of duty.

Or course, you know, people were not expecting the Desert Storm-Desert Shield thing, but how are these centers working and why do these other two groups tend to have so much more firepower, so to speak?

Mr. **Childers**. Well, one problem in New Jersey, Congressman, with competition is that, unfortunately, there are no Educational Opportunity Centers in the State of New Jersey. So the competition with the military services is a little unfair. But, in general, I do feel that they do provide outreach services. Their purpose is to reach out to and encourage people to come back into education who may not have finished their secondary education or to go on to postsecondary education.

The EOCs, as opposed to some of the other programs, are not as intensive in the nature of services delivered but are more of a contact basis, helping students that may be on a one- or two-time basis, just providing with information about postsecondary opportunities, or information on how to fill out financial aid applications. But it is true—I noted the distribution patterns of EOCs before—as opposed to the military, they are not in all communities, and they do not serve populations in all States.

Mr. **Payne**. In your proposal, you are talking about a block grant, therefore it is going to be up to the individual States to decide which of the programs they are interested in? How will the TRIO fare? I missed the testimony, as I mentioned, but there is a proposal to put four of the TRIO programs into a block grant?

Mr. **Childers**. Yes. On access programs, the proposal is to consolidate four of them, and grantees themselves would have the flexibility to target the populations they particularly wanted to serve. And it could indeed be the population that the EOCs serve right now.

If I might, just going back for a moment to a question Congressman Andrews asked, one of the problems in knowing exactly what the cost per project would be or exactly how many people would be served would be, under this flexible approach, a grantee could decide to focus on one type of population rather than another.

And, in our own experience right now, Congressman, the per-student cost, for example, in the Upward Bound program, is much more expensive than in the EOC program. So if they went for an Upward Bound type concept, it might take more money per student. But that is a problem with an estimation at this point.

But, Congressman Payne, it would be our thought that, under the consolidated program, whatever particular population is identified as having the need in that area, the grantee could have the flexibility to really target their focus on that particular population group.

Mr. **Payne**. Thank you. I had another concern actually regarding Title III. There is, I think—and I don't have my notes with me—but Title III deals with strengthening institutions that have large numbers of disadvantaged youngsters, in my district, is that a part of Title III?

Mr. CHILDERS. Yes, that is the Title III programs of the Department. There are three major parts: the strengthening institutions portion of that, Part A; Part B is a specific program for the historically black colleges and universities; and then there is a Part C, which is the endowment portion of the Title III program.

But, in general, those programs are designed to focus and strengthen institutions that are serving large proportions of disadvantaged students, who are scholarship recipients, and which institutions also have low educational and general expenditure levels.

Mr. Chairman, I look forward again, next month, to bringing the administration's message to this committee on Title III in more detail.

Mr. PAYNE. One of the reasons I brought it up is because several institutions in my area of North Jersey indicate that they have attempted to get some funding under Title III and have been totally left out—I mean, they just get an immediate response as soon as their application goes in, so they are almost at the point where they don't even apply any more, because there seems to be no dollars available.

We have some private colleges, Bloomfield College, for example, that may have probably 50 percent minority students. It happens to be an all-white town. It's a commuting school. The kids come from Newark and East Orange. They just happen to have an aggressive program for inner city kids and are shut out. I mean, they probably provide, between that and Essex County College, in my town, they probably provide for as many students as all the historically black colleges in the country for New Jersey students with just those two institutions.

But they are totally cut out of Title III and some of the other programs. Not that I'm trying to pit, as I'm afraid that this block grant stuff pits, you know, do you want scientists, or do you want to get lawyers? I dislike this throwing everybody in one pot, and you have to battle for it, and you find that people who are normally allies tend to be adversaries and going after each other for the dollar.

In my opinion, these block grants are supposed to give flexibility to the institution, but I think it's like, saying are you for the WIC program, for prenatal care, or senior citizens' Medicare? So what are you going to do have a battle, between the elderly and the newborn. Well, this throwing everything into one pot, again—because I would assume that eventually then they are going to kind of cut the pot, and then it's even going to be more difficult, although you said there is an increase for this fiscal year coming up.

Those are some concerns that we have heard surfaced in my area.

Mr. CHILDERS. Congressman, it is a concern. In the Title III program, Part A, which the schools you are referring to would be applying under, is one of the most competitive programs administered in the Office of Higher Education Programs in the Department. There are about 1,100 eligible institutions in the United States, of which approximately 500 applied for Title III assistance this past year. We were only able to fund about one in five of those applications because of the number applying.

And it's one of the highest failure ratios, if you will, of unsuccessful applicants of any program we have in the Department. And it's a highly desired program. It's highly important for these institutions. And I'm just afraid that we literally just are not able to fund the quality applications that we do receive.

It's a little different in Part B for the historically black colleges and universities. There are about 100 of them, and they all get funded through a formula basis. But in Part A, for the other institutions which may be educating large numbers of minority students, as you pointed out, we do have a very low success rate for applicants.

I can certainly understand. I would be discouraged, if I had put in what I thought was a good application several years running, and it failed each year. But our success rate is only about 20 percent.

Mr. PAYNE. Then I suppose next week, when you come back to tell Chairman Ford about this Title III, you will be bringing in good news about how you are going to increase the funding for it?

Mr. CHILDERS. Yes, sir.

Mr. PAYNE. All right. Great. Terrific. Thank you. I have no further questions.

Chairman FORD. He is going to bring you good news about increasing the funding for Part B for the historically black colleges. That's the politically acceptable position to take in both political parties around this place. He is not going to encourage you with any idea that the kind of college that is in your district, with a majority of black students, or the kind of college in my district, with a majority of black students, is going to get penny one. That's the difference.

I invite you to take that fight up, if you want. I tried 5 years ago and almost had my head handed to me. I couldn't get a single vote on this committee, not a single vote, to give priority to Title I, because it was thought it might be taking something from the historically black colleges. It took me a long time to get back on a talking basis with my friends at Howard.

So if you want to go down that route, you can try it, but I would advise against it.

Mr. PAYNE. Well, I think the answer is, it's just that they are not funding it to the right level. But that's something that you certainly can't discuss, not when you get to education. Military, okay; defense, the F-22, the new F-18—they have even put a new one on that is the F-18. I don't think you have heard about that fighter plane yet. I mean, it's more expensive than the F-22 that won't be ready for 9 more years. They have this new one that's going to make the F-22 obsolete.

I mean, there are billions of dollars, including $48 billion start up costs. And we talk about a couple hundred million dollars for some students all over the United States, and they tell you, "You've got to be out of your mind. You can't get that money. We don't have it."

The B-2—I went out there—I was mentioning the other day—and sat in that B-2 bomber. Two people sat in the thing. There wasn't enough room. The thing cost $800 million. They said it may go up to a billion. They said they could put a third person in, but they've got to make sure it didn't weigh too much. It makes no sense. Where are we going as a Nation with B-2s and F-22s and now the F-18s, and they cost billions and billions? I mean, we talk about billions with those numbers like we're talking about dollars. It's just crazy. It makes no sense. Believe me, we are going out of the world backwards.

Chairman Ford. Thank you, gentlemen.

I would like to thank the members of the panel for their preparation for today and their cooperation with us, and solicit you to respond more specifically to these proposals precisely because they aren't the big ticket items. They will get lost in the shuffle if we don't get very specific about what we ought to do with them, and the earlier the better.

I thank you for your help.

Before I adjourn the committee, I would like to observe that this morning we have had as guests a number of students who are here from the TRIO program at a leadership conference. And I would have expected you to get a little bit more excited than you did this morning. Maybe we are training you too well. You are lot more polite than I was at your age if I had heard the kinds of things that these people were talking about at the table.

The committee stands adjourned.

[Whereupon, at 11:30 a.m., the subcommittee was adjourned, subject to the call of the Chair.]

[Additional material submitted for the record follows.]

NAVPA

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NATIONAL ASSOCIATION OF VETERANS PROGRAM ADMINISTRATORS

July 18, 1991

The Honorable Mr. William D. Ford
House Education and Labor Committee
2181 Rayburn House Office Building
Washington, D.C. 20515

Dear Mr. Ford;

This letter is in response to questions you raised concerning the Veterans Education Outreach Program (VEOP) grant during hearings of the Sub-Committee on Post-Secondary Education. At that hearing you indicated that you were inclined to support the Department of Education's (DOE) position that the VEOP grant was no longer needed, but were willing to listen to NAVPA's position.

The VEOP grant was originally known as the Veterans Cost of Instruction Program (VCIP), and was conceived to address the needs of returning Vietnam and Vietnam-era veterans. Veterans needed assistance in entering an educational setting, along with counseling and other retention efforts to assist them in reaching their educational goals. Additionally, VCIP placed special emphasis on the needs of disabled and educationally disadvantaged veterans.

VCIP evolved into the VEOP program in 1985 when it was expanded to include all veterans, including both Vietnam and post Vietnam veterans. This evolution recognized that all veterans benefited greatly by the services funded by VEOP.

The DOE has stated that the VEOP grant is no longer needed. They base this recommendation on two premises. First, they contend that veteran outreach activities by colleges and university are no longer needed since the Department of Defense (DOD) provides information through separation and transition programs, and because the Department of Veterans Affairs (DVA) has increased its counseling and outreach services. Second, they contend that services such as counseling and tutorial assistance provided for through VEOP are available through other programs.

It is true that the military services provide more information on educational benefit opportunities through such programs as the Transitional Assistance Program. It is also true that the DVA is increasing its resources for Vocational Rehabilitation counseling and is providing information on veterans benefits, including educational benefits, to recently discharged veterans.

However, at a recent workshop sponsored by the DOE concerning the downsizing of the military, it was noted that while the DOD and DVA outreach activities are necessary, "there [is] a lack of strong advocacy for post-secondary education that bridges DOD and DVA encouraging transitioning servicemembers to take advantage of their educational opportunities and use higher education to help find careers in civilian life with prospects for advancement and personal success." The VEOP grant provides the funds to support the kinds of outreach activities that fill that gap. With the anticipated drawdown of over five hundred thousand servicemembers over the next five years, the need for aggressive, coordinated outreach is paramount. In an era of increased enrollments, tightening academic budgets, and higher admission standards, veterans need and deserve advocates at education institutions to assist in their return to the education environment.

The second argument offered by DOE is that services such as counseling and tutorial assistance are available through other programs. Given that the average VEOP award is less than $6000, few, if any, schools have counseling or tutorial programs inplace solely for veterans. What the VEOP grant money does provide is the seed money for schools to fund an office of Veterans Affairs. This office, in addition to accomplishing outreach activities, acts as a resource and referral agent to coordinate the various campus and community resources to assist veterans to resolve academic, financial, and personal problems which distract them from reaching their educational goals. The size and level of this assistance is directly proportional to the size of the veteran population and the VEOP grant. The value of these services was demonstrated during the recent Desert Storm activation. Veterans, many of whom were students, were recalled by the thousands to active duty in support of this operation. Veteran's Coordinators assisted veterans who had to drop out of school by being the single point of information on withdrawals, grades, refunds, and re-admission information. Schools also established support groups for veterans, friends, and families. And, as is obvious from the news media, the storm is not over, and who knows when the next storm will arise.

In closing let me say that the VEOP grant still has an important place in the education process of veterans. While it may be true that the DOD and DVA does rightly play a major role in the veterans education process, the recruiting and educating of veterans is still in the hands of educational institutions. VEOP funds may not support an extensive veteran outreach, counseling, or tutorial assistance program at any college or university, but by continuing the VEOP grant program, Congress will send an important signal to schools that their support of veterans and veterans programs is important. The DOE cannot be allowed to remove the veteran from its list of priorities, regardless of how low, in terms of dollars, that priority has become.

I appreciate the opportunity to respond to your questions, and I request that this letter be made part of the official record of the hearing as part of my written testimony.

Sincerely,

Ronald H. Atwell

Ronald H. Atwell
President

RHA/bg

6/18/91

NASSGP
National Association of State Scholarship and Grant Programs

July 30, 1991

The Honorable William D. Ford
Chair
Committee on Education and Labor
U.S. House of Representatives
2181 Rayburn House Office Building
Washington, D.C. 10515-2215

Dear Congressman Ford:

I very much appreciated the opportunity last month to present testimony before the House Subcommittee on Postsecondary Education regarding the reauthorization of the federal Higher Education Act. At that time, you asked that I send any additional material which might be available to refute the Administration's recommendation that the State Student Incentive Grant program not be reauthorized.

Enclosed is a copy of the "Report on the Survey of the National Association of State Scholarship and Grant Programs (NASSGP) Members to Determine the Impact of Funding Options for the State Student Incentive Grant (SSIG) Program." Of those responding to the survey, 92% or 44 states indicated that the elimination of SSIG would have a negative effect upon their state need-based program. Of these, 11 states indicated that the loss of SSIG funds would mean the elimination of the state program as well. On the other hand, nearly half of those responding indicated that funding for their state grant program actually increased when SSIG funding was increased in fiscal year 1991.

The recommendation for eliminating SSIG seems to rest principally on two arguments. Both were advanced by the U.S. Department of Education at the June hearing:

1. The SSIG program has achieved its goal in providing incentive to states to establish programs, and

2. States are vastly overmatching the federal funds and, therefore, the federal SSIG program is not necessary.

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The SSIG program has indeed provided an incentive for states to establish and to fund state student financial aid programs. Each state now has such a program. If the goal of SSIG were only to encourage states to establish a program, it could indeed be viewed as having been successful. However, as the enclosed survey indicates, at least 11 states will no longer have a program should SSIG be eliminated. It would seem to be a reasonable reading of the original intent of SSIG that it was intended to provide a continuing incentive to the states not only to match the federal funding but indeed as resources allowed, to over match such funding. Section 415A of the Higher Education Act does not refer to the purpose of SSIG as being an incentive for states to establish programs but rather that the purpose is "... to make incentive grants available to the states to assist them in providing grants to eligible students..."

I can assure you that no state viewed the SSIG funding as additional money to establish a program. On the contrary, states view the SSIG program as providing an incentive each year to continue the state's funding of a program.

The argument that because some states vastly overmatch SSIG funding the federal funds would not be missed is also contrary to what we actually found in asking the states what would happen to their state funding. It is true that a few states do vastly overmatch the federal funds. It should be noted, however, that the "maintenance-of-effort" requirement under the SSIG program mandates that states provide more than just matching funds in order to continue to be eligible to receive SSIG funding. For 1990-91, the maintenance-of-effort requirement resulted in states appropriating over $656 million in state student financial aid. For the 1991-92 school year, it is estimated that the maintenance-of-effort requirement will result in over $765 million being spent from state funds.

The elimination of SSIG and the subsequent elimination of any maintenance-of-effort requirement would in fact release the states from having to maintain this level of funding. Of course, we would all hope that the states would continue to provide the funds. However, in view of the pressure on states at this time, this level of funding for student financial aid may only be continued if there is a requirement such as the SSIG requirement in order to obtain the SSIG funds.

Reauthorizing the SSIG program and maintaining federal funding for the program would continue to achieve the goal of assisting states in providing student financial aid to students. Recent data from the U.S. Department of Education confirms that SSIG is serving a needy population. For 1989-90, the median income of SSIG recipients was $13,933, or roughly $4,000 less than the median income of SEOG recipients. No other federal student financial aid program is structured in such a way that it could make up for the funding that would be lost to students were

Report on the Survey of the National Association of State Scholarship and Grant Programs (NASSGP) Members to Determine the Impact of Funding Options for the State Student Incentive Grant (SSIG) Program

Prepared by

Kristen Osterlitz, William Sell, and Charles G. Treadwell
New York State Higher Education Services Corporation (NYSHESC)

for the

National Association of State Scholarship and Grant Programs
Frank J. Hynes, President
c/o New York State Higher Education Services Corporation
99 Washington Avenue
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June, 1991
(Revised)

Results of NASSGP Survey on the Impact of SSIG Funding Levels

I. Background

In March, 1991, the National Association of State Scholarship and Grant Programs (NASSGP) initiated a survey of its membership to better understand the impact that funding fluctuations within the State Student Incentive Grant (SSIG) program would have in each participating state and territory. The SSIG program is authorized by Section 415 of the federal Higher Education Act.

The survey was conducted by the New York State Higher Education Services Corporation (NYSHESC) and responses were received from 48 of the 57 states and territories that receive SSIG funding.[1] Responding agencies' SSIG funding represented 91% of the 1990-91 SSIG appropriation, and thus can be considered representative of the larger population of all participating states and territories.

II. Summary

The survey examined agency response to two questions: (1) How would the President's proposed elimination of SSIG funding affect your state's student grant program?; and (2) How did the 7.3% increase in SSIG funding provided by the Congress for FY'91 affect your state student grant program?

A. Impact of SSIG Program Elimination

President Bush in his FY'92 budget request, called for the elimination of the SSIG program. When asked if the SSIG program termination would affect their state student grant program, the NASSGP membership responded as follows:[2]

o Overall, 44 states (92%) indicated that the elimination of the SSIG program would affect their state need-based grant program. There was virtually no difference in response by size of state.

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1. The following states and territories did not respond to the survey: Alaska, Hawaii, Nevada, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, Trust Territory, and the Virgin Islands.

2. For analysis purposes, respondents were divided into two groups, large and small states, with those using over $1 million in SSIG funds in 1989-90 being designated as "large" (20 states) and the remainder categorized as "small" (28 states).

o Roughly 25% of those 44 states reported that the elimination of SSIG could mean the elimination of their state grant program as well. These states were mostly small.

B. Sample Comments by Respondents Regarding SSIG Elimination

"We have severe budget problems. The Governor's budget for state grant programs for the 91-93 biennium contains approximately a $1.9 million reduction from anticipated available revenues. This will result in a reduction of 2,280 awards during the biennium in a program that is already underfunded and does not meet the needs of all who apply. The loss of SSIG funding on top of this reduction will have a severe impact on our students."

"We have continually tried to increase appropriations to the SSIG program but have not had much success. If federal funding would be eliminated, I believe it would be years before those funds could be picked up by the state."

C. Impact of 7.3% SSIG Funding Increase Experienced in FY'91

The Congress increased FY'91 SSIG funding to $63.5 million (+7.3%). When asked how the increase affected their state student grant program, the NASSGP membership responded as follows:

o Even in these dire economic times, nearly one-half (44%) of the states reported that their state student grant program realized additional student awards. The large states were more likely to increase awards, with one state adding 1,200 awards.

o Despite wide-spread budget problems, one out of every five states reported that their state legislature had increased state funding for their student grant programs. The large states were more able to increase funds: 35% of them increased funds, as compared to 9% of the small states.

o Only 16 states reported that the increase had no significant impact on their state grant programs. The small states were slightly overrepresented here, comprising 10 of the 16.

o Several states reported that they were in the midst of a severe recession, and could only increase grant funding to the extent required for the maintenance-of-effort for SSIG funding.

D. Sample Comments by Respondents Regarding SSIG Increase

"We are still expecting a 2.5% cut in our Tuition Grant/State Scholarship allocation due to serious budget constraints at the state legislature."

"Increased federal funding was recognized, and legislative desire to increase funding exists; however, budget constraints will likely result in no increase in state funds."

"Our state's student grant program is an entitlement need-based program and to the extent that additional SSIG funds are available, matching additional funds are also made available."

"The increase will be allocated to the state's newest statewide grant program for low-income students."

For more information, contact Charles Treadwell, Chair of the NASSGP Federal Relations Committee, 518-474-1549.

"Increased federal funding was recognized, and legislative desire to increase funding exists; however, budget constraints will likely result in no increase in state funds."

"Our state's student grant program is an entitlement need-based program and to the extent that additional SSIG funds are available, matching additional funds are also made available."

"The increase will be allocated to the state's newest statewide grant program for low-income students."

For more information, contact Charles Treadwell, Chair of the NASSGP Federal Relations Committee, 518-474-1549.

HEARING ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

WEDNESDAY, JUNE 26, 1991

House of Representatives,
Subcommittee on Postsecondary Education,
Committee on Education and Labor,
Washington, DC.

The subcommittee met, pursuant to call, at 9:40 a.m., Room 2175, Rayburn House Office Building, Hon. William D. Ford [Chairman] presiding.

Members present: Representatives Ford, Hayes, Sawyer, Andrews, Jefferson, Reed, Klug, and Gunderson.

Staff present: Thomas Wolanin, staff director; Jack Jennings, education counsel; Maureen Long, legislative associate; Gloria Gray-Watson, administrative assistant; Rose DiNapoli, minority staff director; and Jo-Marie St. Martin, minority education counsel.

Chairman Ford. The hearing will be convened on this the 28th in our series of 46 hearings on the Reauthorization of the Higher Education Act.

Today is the first of two hearings on the campus-based student financial assistance programs, SEOG, College Work-Study, and Perkins Loans. Campus-based student assistance is distributed directly to the postsecondary institutions to provide assistance to needy students.

The Supplemental Educational Opportunity Grant program is currently funded at $520 million and serves about 835,000 students. This Federal contribution provides $584 million in student assistance because the grants are distributed under an 85/15 Federal/institutional match.

The College Work-Study program provides employment, typically on campus, for 827,000 students. $594 million in Federal funding pays for 70 percent of the students' salaries.

The Perkins Loan program is the oldest student assistance program in the Higher Education Act. It was originally the National Defense Student Loan program created by the 1958 National Defense Education Act. This is a revolving loan fund.

New Federal capital contributions of $156 million in this current year are joined with institutional revolving funds made up of the repayment of past loans to generate an annual loan volume of about $860 million for this year. 3300 participating institutions will make low-interest loans to about 688,000 students in the coming academic year. The interest rate for this program is 5 percent during the student's repayment period.

I look forward to hearing from our witnesses on their recommendations and suggestions for reform and improvement of these student assistance programs.

Before we recognize the panel, Mr. Klug.

Mr. KLUG. Thank you, Mr. Chairman. I just want to thank you again for this opportunity this morning to look into campus-based student aid programs.

I want to take a minute, if I can, to welcome a constituent of mine, Rhonda Norsetter. Rhonda and I first met last year at a student aid conference in Oconomowoc, when I was first starting to learn the program, and she is a long time resident of Madison and a long time associate of the University of Wisconsin.

She received her bachelor's and her master's degree at Madison and has held a number of positions of responsibility in the University's Office of Student Financial Services for close to 15 years, although, this summer she is playing hooky on an interim program at the University of Virginia down in Charlottesville, where it is hot for those who live in Wisconsin.

In her most recent capacity as associate director of student financial services, she has played a key role in administering a $75-million student financial aid package, for which she processes more than 30,000 applications a year, which should really come as no surprise since the University of Wisconsin-Madison is the third largest campus in the country.

The campus-based programs which are the subject of today's hearings are an especially significant part of the financial aid package and financial aid services at the University of Wisconsin. In fact, we have the largest Perkins Loan program in the Nation. I am sure she can give us a much better sense today of how it all works.

So I look forward to all of the panelists and particularly to Rhonda, who I know will give us a great deal of insight and do the kind of fine job that I know that the chancellor always says she does.

Chairman FORD. Mr. Sawyer.

Mr. SAWYER. Thank you, Mr. Chairman.

I just want to thank you for this hearing on campus-based student loan programs. They are a good Federal investment. They have been used creatively and well by campuses all across the country, and I am grateful for the support that these hearings imply.

Thank you.

Chairman FORD. Mr. Reed.

Mr. REED. Thank you, Mr. Chairman.

I just want to welcome the witnesses and I look forward to their testimony. Thank you again for having the 28th in a series of 46 hearings. Thank you, Mr. Chairman.

Chairman FORD. There is a motive to this that may be emerging now. We are gradually, one by one, wearing down the members of the committee so only me and thee will end up writing the bill.

We have with us this morning Michael Farrell, Acting Assistant Secretary for the Office of Postsecondary Education in the Department of Education; Alicia Ybarra, project coordinator, recruitment and retention of people of color in higher education, United States

Student Association; Dr. Frank Mertz, president, Fairleigh-Dickinson University, Teaneck, New Jersey; Rhonda Norsetter, associate director, Office of Student Financial Services, University of Wisconsin-Madison, Wisconsin; and Rene Champagne, president, ITT Educational Services, Inc., Indianapolis, Indiana.

I would observe that Mr. Farrell has probably spent more time as a seatmate with the United States Student Association testifying than any of his predecessors at the Department. We hope that you are rubbing off on each other during this process, and everybody's contribution will be improved accordingly.

Without objection, the prepared statements of the witnesses will be inserted in full in the record immediately following the point at which they make their oral comments. You may proceed in the order in which I recognized you.

Mr. Farrell first.

STATEMENTS OF MICHAEL FARRELL, ACTING ASSISTANT SECRETARY FOR THE OFFICE OF POSTSECONDARY EDUCATION, U.S. DEPARTMENT OF EDUCATION, WASHINGTON, DC; ALICIA YBARRA, PROJECT COORDINATOR, RECRUITMENT AND RETENTION OF PEOPLE OF COLOR IN HIGHER EDUCATION, UNITED STATES STUDENT ASSOCIATION, WASHINGTON, DC; FRANCIS J. MERTZ, PRESIDENT, FAIRLEIGH-DICKINSON UNIVERSITY, TEANECK, NEW JERSEY; RHONDA NORSETTER, ASSOCIATE DIRECTOR, OFFICE OF STUDENT FINANCIAL SERVICES, UNIVERSITY OF WISCONSIN-MADISON, MADISON, WISCONSIN; AND RENE CHAMPAGNE, PRESIDENT, ITT EDUCATIONAL SERVICES, INC., INDIANAPOLIS, INDIANA

Mr. FARRELL. Mr. Chairman and members of the committee, I am pleased to be here today to discuss the Department's proposals for reauthorizing the campus-based and income-contingent loan programs.

The campus-based programs, Supplement Educational Opportunity Grants, Work-Study, and Perkins Loans, include the Federal Government oldest student financial aid programs. A number of our proposals will streamline the institution's administrative burden.

Unlike the Pell Grant and Guaranteed Student Loan programs, institutions are principally responsible for the decisions regarding awards to students in the campus-based programs. They have wide latitude to direct campus-based funds to students with financial need whom they are most interested in enrolling.

We have previously presented several of our simplification proposals. These include a single need analysis formula. I think our campus-based proposal must be viewed as part of the whole higher education reauthorization proposal that we have made, which is overall more money for student aid in this budget than last, considerably higher amounts for Pell Grants, higher for Stafford Loans. Part of the increase for those programs comes from more money in our proposal; the other part from increasing the emphasis of Federal money for Pell and Stafford and away from campus-based programs.

We ask the schools to increase their commitment to these programs. We call for an equal partnership between schools and the Federal Government in the SEOG and Work-Study programs by increasing the institutional share to 50 percent. The magnitude of benefits to schools is such that requiring them to provide additional program funding is appropriate.

The reduction in funding, from the Federal standpoint, permits more funds to be directed to provide the Pell Grant program with additional funds, and that program, of course, is targeted to students with the greatest financial need.

We propose repeal of two aspects of the Work-Study program: first, the provision that allows employment by for-profit institutions and organizations, including proprietary schools. I think for-profit organizations are at their best when they are handling their own money; that is, when they get the maximum out of every dollar.

We propose to eliminate the special rules pertaining to community service learning employment, since less than 1 percent of the participating schools utilize that provision. Under our proposal, community service jobs would in fact remain a key element, they would simply be subject to the same 50/50 share as other jobs.

Several of our proposals reflect accountability efforts and default reduction. We also propose to repeal the authority for Federal capital contributions to institutional Perkins Loan funds. Collections from prior loans would provide new loans to students. New Perkins borrowers would be charged 8 percent interest on their loans, making the Stafford and Perkins programs consistent and returning greater amounts to the revolving funds.

We propose two changes to the fledgling ICL program to facilitate institutional access and broaden institutional choice for post-secondary students. The first would make graduate and professional students eligible to borrow. The terms of the ICL program are well suited to graduate students, since they are often better able to predict their future earnings potential.

The second change removes the current 10 institutional limit on participation and would broaden it to a consortia of institutions. The purpose of that is really to give a better chance for this program to prove its feasibility.

I will be happy to respond to any questions or comments that any of you may have at the appropriate time. Thank you.

[The prepared statement of Michael Farrell follows:]

Insert #1

DEPARTMENT OF EDUCATION

Statement by

Michael J. Farrell
Acting Assistant Secretary
for
Postsecondary Education

before the

House Subcommittee on Postsecondary Education

on

Reauthorizing the

Campus-Based and Income Contingent Loan Programs

Wednesday, June 26, 1991

Mr. Chairman and Members of the Committee:

I am pleased to appear before this Committee today to present and discuss the Department's proposals for reauthorizing the campus-based and Income Contingent Loan programs. These programs are important components of the Administration's plan for reauthorizing the Higher Education Act of 1965 (HEA). The campus-based programs -- Supplemental Educational Opportunity Grants (SEOG), Work-Study (WS) and Perkins Loans -- include the Federal government's oldest student financial aid programs; the Income Contingent Loan program (ICL) is its newest.

A number of our reauthorization proposals for the campus-based programs are intended to lessen institutions' administrative burden associated with campus-level management of these programs. Unlike the Pell Grant and Guaranteed Student Loan programs, institutions are principally responsible for the decisions regarding awards to students in the campus-based programs. Institutions have wide latitude to direct campus-based funds to students (with financial need) whom they are most interested in enrolling. We have previously presented several of our simplification proposals, including a single need analysis formula and revised independent student definition, that affect all the student aid programs. We are proposing additional simplification measures for the campus-based programs.

Our reauthorization proposal calls for an equal partnership between schools and the Federal government in the SEOG and WS programs by increasing the institutional share in both programs to 50 percent. Clearly, the Congress recognizes the additional benefits provided to institutions by the campus-based nature of the SEOG and WS programs, since the HEA requires institutions to fund a portion of the awards they make to students in these programs. We think the magnitude of these benefits to schools is such that requiring them to provide additional program funding is appropriate. The reduction in Federal funding is necessary to permit more funds to be directed to provide increases in the Pell Grant program, which is more targeted on students with the greatest amount of financial need.

Through WS, the Federal government supports a student workforce at participating institutions through subsidized employment. Students use the opportunity to earn funds. Some research has shown that many students who work part-time during the school term demonstrate higher rates of persistence than students who do not.

We are proposing to repeal two aspects of the WS program. First, we would eliminate the provision that allows employment of WS students by for-profit organizations, including proprietary schools. This would end a Federal subsidy for profit-making businesses that is unnecessary since many students are able to find unsubsidized, part-time employment in the private sector. Proprietary school students could still participate in WS, but could not be employed by the proprietary institution itself. Thus, Federal funds would not be used to improve the profitability (through decreased labor costs) of for-profit entities.

Second, we propose to eliminate the special rules pertaining to community service learning employment under this program. For example, current law attempts to encourage institutions to increase student involvement in community service-related activities by authorizing an institutional matching requirement of only 10 percent for wages paid to students employed in these areas, which is more favorable to institutions than the regular 30 percent share. We have no evidence that schools do not employ WS students in community service learning jobs. However, less than one percent of the WS participating schools utilize this provision for a reduced institutional share of wages. This provision makes program management more difficult for many institutions and reduces both the Federal aid available to other students and the number of students who can receive WS assistance. Under our proposal, community service jobs would still be permitted, but program administration for schools would be simplified, since all student earnings would be one-half Federal and one-half institutional funds.

Under current law, institutions may also utilize a portion of their WS allocations to support Job Location and Development (JLD) activities for their students. Yet schools are permitted to contribute as little as 20 percent of the total cost of these activities. Our proposal to require a dollar-for-dollar institutional share of program costs would extend to all components of the WS program, including JLD.

We are also proposing to amend current law to reduce the amount of subsidized compensation in excess of financial need that a student can earn from WS employment. The WS program is the exception to the rule that a student's Title IV award cannot exceed his or her financial need. Some administrative flexibility with respect to overawards is appropriate in this program since the amount of an individual WS award depends on the number of hours the student works. Current law permits students to earn up to $200 in excess of their financial need from WS supported employment. A $200 limit, which is about 20 percent of the average annual WS earnings, is too high. We propose to reduce the allowable excess to $100.

Several of our proposals for the Perkins Loan and ICL programs reflect our accountability efforts and default reduction initiative. For example, we would require institutions to check the credit histories of all prospective borrowers age 21 and over, and borrowers with poor credit histories would need a credit worthy co-signer. Also, borrowers would be required to provide their driver's license number and other skip-tracing information at the time of application and during the exit interview to assist in the collection effort if the borrower were to default.

We are proposing to repeal the authority for Federal capital contributions to institutional Perkins Loan funds. Collections from prior loans would provide new loans to students in the absence of new Federal capital. Compared to the other student loan programs, Perkins Loans provide substantial and unnecessary Federal interest subsidies to student borrowers. The Perkins Loan program duplicates the objectives of the less subsidized Stafford Loan program, and our proposed amendments to that program, particularly higher loan limits, would ensure that students have adequate access to loans. New Perkins borrowers would be charged eight percent interest on their loans, making the Stafford and Perkins programs consistent and returning greater amounts to the revolving funds.

Perkins Loan cancellation benefits in exchange for a period of service in a specified field would be discontinued for new loans made after the 1991-92 academic year. There is little evidence that loan cancellations attract individuals to fields that they would not otherwise have chosen. Instead, cancellation payments provide a windfall benefit to those already intending to pursue a given field.

We are proposing two important changes to the ICL program in order to facilitate institutional access and broaden institutional choice for postsecondary students. The first would make graduate and professional students eligible to borrow. Graduate students need additional financial aid opportunities since many of them may have already reached the borrowing limits under loan programs currently available to them, and some student aid programs are limited to undergraduate students. Also, the terms and conditions of the ICL program are especially well-suited to graduate students since they often are able to predict their future earning potential more accurately than undergraduates.

The second proposed change would remove the current 10-institution limit on participation and permit consortia of institutions to participate. The purpose of the ICL program -- to demonstrate the feasibility of a loan program that features repayments based on a borrower's post-graduation income -- cannot be accomplished without examining a representative cross-section of postsecondary institutions. A small sample of 10 institutions cannot adequately demonstrate the value and feasibility of the program for an institutional community that varies widely by geographic location, school size, type and control, and characteristics and incomes of students. We believe that a more varied and expanded sample can help us better evaluate the feasibility of a loan program based on a borrower's post-graduation income.

Finally, enhanced access to these loans is an important element in the overall effort to reduce defaults. This program avoids the repayment burden problems associated with traditional short-term, equal-installment payment schedules. Also, the flexible income-sensitive repayment plans avoid discouraging students from pursuing careers in low-paying fields.

I will be happy to respond to any questions or comments that you may have.

Chairman **Ford**. Ms. Ybarra.

Ms. **Ybarra**. I would like thank the Chairman and the members of the subcommittee for this opportunity to testify on the three Federal campus-based student aid programs.

Again, I am Alicia Ybarra. I am the coordinator of the United States Student Association's Recruitment and Retention of People of Color in Higher Education project. It is a grass roots organizing project that works with the American Council on Education's Office of Minority Concerns to establish a resource center for students who are interested in working on recruitment and retention issues on their campuses.

At a time when decreasing numbers of low- and middle-income students of color are persisting in higher education, a renewed commitment to proven student aid programs, including the campus-based ones, is crucial.

I would like to first point out that without Federal financial aid I would not have been able to go to college. I was born in East Los Angeles, and you could say that I am a first-generation college student as well as a first-generation fourth-grader. My mother had to discontinue her formal education at first grade and my father at third grade. My parents could not have afforded to send me to college.

So, armed with Pell Grants, Supplemental Educational Opportunity Grants, College Work-Study, Perkins Loans, institutional grants and loans, savings from working year-round, and $8,000 worth of debt, I was able to go and graduate from Stanford last year.

Students of color in particular have been hurt by loan and grant imbalance. USSA believes that College Work-Study and Supplemental Educational Opportunity Grants must continue to be vital alternatives to high loan indebtedness for needy students. If low-income students must take out any loans for their postsecondary education, they should be Perkins Loans, because that is the most manageable student loan program.

First, USSA recommends that funding for SEOG programs be increased to $604 million to restore the program back to 1980 inflation-adjusted levels. An increase in SEOG funding, along with a Pell Grant entitlement, would significantly improve the loan/grant imbalance and ensure that the neediest students need not borrow.

Funding for SEOG, the value of average awards, and the number of recipients have all declined in real terms since 1980. These cutbacks in the SEOG program have sent America's students and youth back to the banks for more loans. I personally was able to avoid taking out a Stafford Loan until my last year when my Pell Grant and SEOG were significantly cut.

USSA supports ACE's recommendation to set a uniform 25 percent campus match for all three of the campus-based programs and to permit institutions to transfer up to 25 percent of SEOG, CWS, and Perkins funds among the programs. USSA also supports a proposal by the National Education Association to extend eligibility for SEOG to first-year graduate students.

The only Federal assistance currently available to needy graduate students is a limited number of fellowships and Work-Study. This limited assistance is forcing graduate students to extend the number of years it takes to complete their studies and is hurting our efforts to achieve the equal participation of women and people of color in all graduate fields of study.

Second, USSA believes that the College Work-Study program is crucial. Not only do work-study jobs have the potential of providing disadvantaged students with important work and career skills, they also stand between needy students and yet another loan. At many schools, work-study jobs provide higher wages than other jobs, while at other institutions they are the only jobs accessible to students.

My college work-study experience has been mostly positive. It would have been difficult to find a part-time job with a comparable wage at Stanford, which is located in a relatively small and isolated community. The skills I learned from my work-study job at Stanford's Career Planning and Placement Center were invaluable.

By setting up internship opportunities for other students, I developed professional skills and computer expertise. I found an internship for myself, and I was able to help other students of color find out about such opportunities. These are skills that I had not developed before coming to Stanford and ones that my work-study job gave me.

The 28.5 percent cut in funding for Work-Study has meant that increasing numbers of needy students are not given work-study jobs or adequate awards. Thus, USSA recommends that the funding for Work-Study be increased to $899 million to restore the program back to 1980 levels.

Moreover, despite the Higher Education Act's requiring that CWS jobs should complement students' academic and career goals, there are no recent evaluations of the contents of work-study jobs. The most recent evaluation of the CWS program was conducted in the 1970s and found that only 15 percent of the recipients that were surveyed were placed in what could be considered academically-related jobs. Hence, USSA recommends that the Department of Education be mandated to conduct a study on the relevance of CWS jobs to students' academic and career interests.

Third, USSA supports expanding the community service component of the College Work-Study program. Currently, a postsecondary institution may use a portion of its CWS funds for job location and development centers and for community service learning programs. USSA supports efforts to provide work-study students the opportunity to serve the communities, especially those involving early intervention efforts that benefit other youth.

Hence, we urge the subcommittee to seriously consider ideas such as that of Representative Machtley of providing work-study students the opportunity to serve as mentors for disadvantaged youth.

Washington State's use of State student incentive grants and State work-study money provides an excellent example of how work-study jobs can provide needy students the ability to, one, work a part of their way through college; two, serve the community; and, three, serve as tutors and role models for local youth.

For example, some of Washington State's work-study students are doing outreach and providing information on college opportunities and financial aid to Latino and Native American youth and their families in the Yakima Valley, through the College Opportunities Mentorship Program.

Hence, USSA, as one of the 30 organizations that constitute Youth Service America's working group on youth service policy, supports the setting aside of 10 percent of CWS funds for community service jobs, as long as the currently appropriated levels are matched.

The Perkins Loan program is the most manageable student loan for needy students, since they have a low interest rate of 5 percent that doesn't accrue during enrollment, less delays, and a nine-month grace period. Yet actual funding for the program has plummeted by 76.5 percent, and the average Perkins Loan award has declined by about 10.8 percent. So USSA recommends investing $300 million in Perkins Loans. In addition, skyrocketing college costs require an increase in the maximum loan limits.

In terms of all three programs, USSA also supports ACE's proposal to allocate additional campus-based funds based on the persistence of first-year students, as well as NEA's proposal to ensure that part-time students have access to campus-based student aid. USSA also supports a number of changes in the congressional methodology needs analysis system to ensure that needy students receive the amount of campus-based aid they really need. USSA will submit testimony next month that will explain our recommendations for need analysis.

In conclusion, USSA believes that the three campus-based programs play an important role in the Federal Government's commitment to equalizing access to higher education. Any further cuts in the campus-based programs would send countless students to banks for more loans.

At a time when institutions are imposing mid-year tuition increases and States are facing huge budget cuts, the partnership between schools and the Federal Government, found in the three campus-based programs, as well as between States and the Federal Government in the SSIG program, is an even more important tool in our struggle to ensure that all students, regardless of income, have access to postsecondary education.

Thank you for this opportunity to testify today, and I will answer any questions you might have.

[The prepared statement of Alicia Ybarra follows:]

Insert #2

USSA "Organizing and Advocating for Students Across the Country"

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JUNE 26, 1991

STATEMENT OF

THE UNITED STATES STUDENT ASSOCIATION

ON FEDERAL CAMPUS-BASED STUDENT FINANCIAL ASSISTANCE PROGRAMS:
Supplemental Educational Opportunity Grants, College Work-Study and Perkins Loans

BEFORE THE HOUSE SUBCOMMITTEE ON POSTSECONDARY EDUCATION

PRESENTED BY

ALICIA J. YBARRA
PROJECT COORDINATOR
RECRUITMENT AND RETENTION OF PEOPLE OF COLOR
IN HIGHER EDUCATION
UNITED STATES STUDENT ASSOCIATION

I would like to thank the Chairman and the members of the subcommittee for this opportunity to testify on the three federal campus-based student aid programs: Supplemental Educational Opportunity Grants (SEOG), College Work-Study (CWS), and Perkins Loans. I am Alicia Ybarra, and a 1990 graduate of Stanford University and a past beneficiary of all three of these programs. I am also the coordinator of the United States Student Association's (USSA) **Recruitment and Retention of People of Color in Higher Education** project. USSA is the country's oldest and largest national student organization, representing more than 3.5 million students. The Recruitment and Retention Project is a grassroots organizing project that involves students in improving the persistence of students of color. With the help of the American Council on Education's Office of Minority Concerns, USSA has been able to establish a resource center for students who are interested in working on recruitment and retention issues on their campus. At at time when decreasing numbers of low- and middle-income students of color are entering and persisting in higher education, a renewed commitment by this Congress to proven student aid programs is crucial. Among the programs we should invest in are the campus-based programs.

Before I explain the details of USSA's recommendations for the campus-based programs, I would like to point out that there is no way that I could have afforded to go to college without the assistance of federal student aid. I was born in East Los Angeles and am a first-generation college student. You could also say that I was a first-generation fourth-grader: my mother had to discontinue her formal schooling after the first grade, and my father after the third grade. My parents could not afford to send me to college; so armed with Pell Grants, Supplemental Educational Opportunity Grants, College Work-Study, Perkins Loans, grants and loans from Stanford, savings from working year-round, and $8,000 worth of debt, I was able to go to and graduate from Stanford last year.

I am lucky that my debt burden is considerably less than most of my peers: the most recent figures show that the average student graduated from public institutions in 1986 with *$6,810 worth of debt* and from private schools with *$10,000 worth of debt* Even more troubling is the fact that even the lowest-income students have been forced to borrow to finance a postsecondary education. One illustration of this is the fact that 60% of financial aid recipients in four-year public schools must resort to loans to pay for their higher education. That the balance between loans and grants in the federal financial aid commitment has been skewed toward high loan indebtedness -

even for the lowest-income students - has been well-documented and argued before this subcommittee. You have also heard how this imbalance has tremendous consequences on students' ability to enter and persist in postsecondary education. This is particularly true for students of color. USSA believes that College Work-Study and Supplemental Educational Opportunity Grants have been and must continue to be vital alternatives to high loan indebtedness for needy students. And if low-income students must take out any loans to finance their postsecondary education, they should be Perkins Loans, the most manageable and the least punitive student loan program.

Supplemental Educational Opportunity Grants (SEOG)

The SEOG program will provide grants to estimated 835,000 needy undergraduate students in 1991-92; the average award is expected to be $700. By targeting SEOG to the neediest students - priority is given to "students with exceptional need" and "students who receive Pell Grants" [Title IV, Subpart 2, Sec. 413C(c)(2)(A)] - many low-income students are given the grant assistance that has been proven to be crucial to their ability to stay in and graduate from postsecondary institutions.

USSA recommends that authorized funding for the SEOG program be increased to $604 million to restore the program back to 1980 inflation-adjusted levels. An increase in SEOG funding - along with a Pell Grant entitlement - would significantly improve the loan/grant balance, and ensure that the neediest students need not borrow. Despite the importance of such assistance, funding for SEOG has declined by 17.9% in real terms since 1980; the inflation-adjusted value of average SEOG awards and number of students receiving SEOG have also dropped. According to the College Board, the average inflation-adjusted award fell by 2.4% from $701 in 1980-81 to $684 in 1988-89. Likewise, the number of SEOG recipients declined from 717,000 to 561,000, even though total undergraduate enrollment, the number of needy students, and the costs of attendance increased during this period.

USSA believes that these cutbacks in the SEOG program and the administration's proposal to cut funding for the program by 33% over last year's levels have sent and would send America's students and youths back to the banks for more loans. I personally was able to avoid taking out a Stafford Loan until my last year when my Pell Grant and SEOG were significantly cut. Up to that point, I was able to get by with a combination of savings, Work-Study, institutionally-provided loans and grants, Perkins Loans, and federal grants.

USSA supports the American Council on Education and other organizations' recommendation to set a uniform 25% campus match for all three of the campus-based programs (instead of the current match of 15% for SEOG, 30% for College Work-Study, and 10% for Perkins Loans), **and to permit institutions to transfer up to 25% of SEOG, CWS and Perkins funds among the programs.** This increase in the campus match - along with an increased investment from this Congress - would expand the access of needy students to these important programs.

USSA also supports the proposal by the National Education Association to extend eligibility for SEOG to first-year graduate students. The only federal assistance currently available to needy graduate students is a limited number of fellowships and Work-Study. Aside from positions as Research Assistants or Teaching Assistants, there is virtually no financing alternatives besides loans. As a number of experts and a graduate student testified before this subcommittee on June 13th, this limited assistance is forcing graduate students to extend the number of years it takes to complete their studies, and is hurting our efforts to achieve the equal participation of women and people of color in all graduate fields of study. Institutions should have the flexibility to use some of this grant assistance for needy graduate students.

College Work-Study

The College Work-Study program is providing an estimated 827,000 low-income students with part-time employment on campus, in non-profit or community service programs, and in private, for-profit businesses. **USSA believes that the College Work-Study program is crucial:** not only do Work-Study jobs have the potential of providing **disadvantaged** students with important work and career skills, they also stand between needy students and yet another loan. By providing a weekly paycheck, needy students can budget their money and cover their educational and living costs. At many schools, Work-Study jobs provide higher wages than other jobs; while at other institutions, they are the only jobs accessible to students. All too often off-campus jobs are not available or are difficult to access. This is true from Stanford University to Eastern Michigan University. Lastly, the Higher Education Act requires that Work-Study jobs, "to the maximum extent practicable, complement and reinforce the educational program or vocational goals of each student receiving assistance under this part" [Title IV, Part C, Sec. 443(b)(7)].

My experience with the College Work-Study program has been for the most part a positive one. I appreciated receiving a paycheck every two weeks; having had no prior experience in managing money, it helped me learn to budget my money and ensure that my educational and living costs were covered. It would have been difficult to find a part-time job with comparable wages at Stanford University, which is located in a relatively small and isolated community. My Work-Study employers were also very flexible, allowing me to modify my schedule during finals and midterms. Moreover, the skills I learned from my Work-Study job at Stanford's Career Planning and Placement Center were invaluable. By setting up internship opportunities for other students, I developed professional skills and computer expertise, found an internship for myself at the District Attorney's office, and helped other students of color find out about such opportunities. These are skills that I had not developed before coming to Stanford and ones that my Work-Study job gave me.

However, my experience has been much more positive than many other students. Under the Higher Education Act, CWS is not suppose to result in the displacement of regular full-time workers. However, despite the matching funding requirement, College Work-Study is not creating jobs, it is subsidizing institutions. CWS funds should either create new jobs or leverage an increased wage for the student. CWS students are supposed to be paid at least the federal minimum wage ($3.80 per hour in 1990 and $4.25 per hour in 1991 and thereafter). However, data on average hourly earnings and average hours of work per week are not available. However, we know that the inflation-adjusted value of College Work-Study awards to students and the number of CWS recipients fell in the 1980's at the same time that the costs of attendance were rising. Total federal funding for CWS declined by 28.5% between FY 1980 and 1990 (source: College Board).

These cutbacks mean that increasing numbers of needy students are not given Work-Study jobs, especially during their junior and senior years. For many students, the twenty-hour a week limit for their Work-Study jobs means that they simply cannot make enough money to cover their costs. In my case, I often had to supplement my Work-Study job with an additional job. In the case of the Eastern Michigan University student who testified before this subcommittee in March, cuts in the program meant that he never received a large Work-Study award. In fact, it would run out before the end of the semester, so he would have to scrounge around for odd jobs, eat food given to him by friends, and even donate plasma for money to get him through the end of the semester.

Moreover, despite the Higher Education Act's requirement that CWS jobs should, as much as possible, complement students' academic and career goals, there are no recent evaluations of the contents of Work-Study jobs. Hence we simply do not know to what extent are institutions placing Work-Study students in jobs that are related to their academic or career goals. However, USSA believes that the majority of Work-Study jobs have nothing to do with students' academic or professional interests. For example, an evaluation of the CWS program in the 1970's - the most recent that we know of - found that 63% of Work-Study students were employed in clerical positions and in jobs such as security guards, food service workers, or maintenance workers. *Only 15% of the recipients that were surveyed were placed in what would be considered academically-related jobs* (such as research and teaching assistantships).

Thus, **USSA recommends that authorized funding for College Work-Study be increased to $899 million to restore the program back to 1980 inflation-adjusted levels.** This would allow institutions to increase the CWS minimum wage, a necessity in light of skyrocketing college costs and shortfalls in student aid programs. Under no circumstances should the subminimum wage be imposed on CWS recipients.

Second, **USSA recommends that the Department of Education be mandated to conduct a study on the relevance of CWS jobs to students' academic and career interests.** We believe that it should be of this subcommittee's concern that we have no idea to what extent one provision of the Higher Education Act is being followed, especially since this provision would go a long way in developing the kind of work force our country so desperately needs. The Department should examine to what extent Work-Study students are employed in academic-, career-, or community service-related jobs.

Third, USSA supports the recommendation put forth by the National Association of Student Financial Aid Administrators regarding **the current stipulation prohibiting CWS employment subsidization for students whose employment income is more than $200 greater than their need.** This $200 threshold has not been changed since 1976 and should be adjusted upward to $500 to reflect today's economic circumstances.

Fourth, **USSA supports expanding the community service component of the College Work-Study program to include more early intervention efforts.** Currently, a postsecondary institution has the option of using up to 10% of their CWS allocation or $30,000 - whichever is less - to establish or expand Job Location and Development Centers (JLDC) which help students find jobs off-campus that are related to their academic or career interests. Nearly 500 institutions receive federal assistance in developing these programs. In addition, institutions have the option of using up to 10% of their CWS funds or $20,000 - whichever is less - to develop Community Service Learning Programs (CSLP) that give Work-Study students job opportunities that provide "tangible community services for or on behalf of low-income individuals or families" [Title IV, Part C, Sec. 447(b)(1)(A)]. These services include health care, child care, literacy training, social services, and crime prevention. Most recent data show that there were 46 institutions with established Community Service Learning Programs. Institutions with CSLPs may use CWS allocations for these programs to pay 90% of students' salaries.

USSA supports efforts to utilize CWS funds to provide Work-Study students opportunities to serve their communities, especially those involving early intervention efforts that benefit other youth. We have found that so many students of color extend themselves to serve as mentors and tutors to local youth even without compensation. This provides a perfect opportunity to combine two goals of Congress: (a) encouraging college students to participate in community service, and (b) creating early intervention programs for local youth. Hence, we urge this subcommittee to seriously consider ideas such as that of Representative Machtley's idea (found in H.R. 1144, "The Education Partnership Act of 1991) to use CWS funds to provide Work-Study students with the opportunity to serve as mentors for disadvantaged elementary and secondary students.

We would like to point out that **Washington State use of State Student Incentive Grant (SSIG) money to develop community service work learning student jobs** for needy students provides an excellent example of how Work-Study jobs can provide needy students the ability to (1) work a part of their way through college; (2) serve their community; and (3) reach out to other youth to encourage them to pursue postsecondary education opportunities. With state Work-Study and SSIG funds, Washington state provides Work-Study students the opportunity to make money for college AND:

- be tutors and mentors to disadvantaged students of color through the Minority Outreach, Remediation and Employment Program (MORE);
- do outreach and to provide information on college opportunities and financial aid to Hispanic and Native American youth and their families in Yakima Valley through the College Opportunities Mentorship Program (COMP);
- act as tutors, residence hall assistants, counselors and mentors for a summer bridge program for at-risk 14- and 15-year olds through the Summer Motivation and Academic Residential Training Program (SMART);
- act as tutors and support staff for adult literacy service providers through the Adult Literacy Project.

Washington state is an exciting example of the innovative use of federal money to provide Work-Study jobs that make a difference in the lives of current and potential college students. USSA points out that this is just one more reason why students support the continuation and expansion of both the College Work-Study and State Student Incentive Grant programs. Hence, USSA as one of 30 organization that constitute Youth Service America's Working Group on Youth Service Policy supports the set aside of 10% of CWS funds for community service jobs as long as currently appropriated levels are matched.

Perkins Loans (formerly called National Direct Student Loans)

The Perkins Loan program is the most manageable student loan for needy undergraduate, graduate and professional students, and is serving an estimated 688,000 students in 1991-92 with an average loan of $1,250. Perkins Loans have a statutorily determined low interest rate of 5% that does not accrue during enrollment, and a 9-month grace period. The Perkins Loan program also provides institutions the flexibility to package student aid awards that best meet the needs of individual students. Using a combination of federal and institution capital contributions, institutions administer and distribute Perkins Loans to needy students. This reduces the delays often associated with loans granted by private lenders. Hence, USSA strongly believes that federal government should continue to invest in the loan program that is the most manageable for low-income students.

In my case, while my Perkins Loans sometimes came late and after the start of the quarter, my Stafford Loan always came late. As my colleagues from USSA have already testified, these delays in the disbursement of loans - whether they are the result of lender schedules or federally-mandated delayed disbursement - are causing enormous hardships on students and are forcing others to drop out. I had very few problems with my Perkins Loans compared to my Stafford Loan; this was the result of it being a campus-based program and my having an excellent counselor. I do not mean to sound unappreciative of the Stafford Loan program: it provided me with the opportunity to study overseas. However, the Perkins Loan program is the best loan program for needy students for a number of reasons.

Despite the success and efficiency of the Perkins Loan program, actual appropriations for the program has plummeted by 76.5% in real terms since 1980, and the number of recipients has increased only slightly from 813,000 to 826,000. The average Perkins Loan award, however, has declined by about 10.8% in real terms. The administration's proposal to eliminate federal contributions to the program would, according to the National Association of Student Financial Aid Administrators, result in the elimination of up to 114,000 students from this important program. Moreover, continued federal contributions are necessary to help institutions that have participated in the program for only a limited time - particularly community colleges and proprietary schools - build up their Perkins Loans revolving funds.

Hence, USSA **recommends investing $300 million in Perkins Loans to keep pace with inflation since 1980.** In addition, we believe that **skyrocketing college costs require an increase in the maximum loan limits.** First-year undergraduate students should be **eligible** for a maximum of $2,625, while other undergraduates should be eligible for up to $5000 per year, and graduates up to $9,000. USSA also cautions this subcommittee to carefully consider the **administration's proposal to check the credit history of all Perkins Loan borrowers age 21 and older**, and to require borrowers with poor credit histories to obtain a credit-worthy co-signer. Won't this cause a unnecessary and potentially long delay in a needy student's receipt of needed loan money? Who will pay for the costs associated with such credit checks? USSA believes that if a low-income student must take on a loan, s/he should have access to the Perkins Loan program.

Other Changes to the Campus-Based Programs

In addition to standardizing the campus match for the three campus-based programs at 25%, USSA further recommends the following changes to the three programs.

First, we support the American Council on Education's proposal to establish an incentive for persistence and retention of students in higher education by **allocating additional campus-based funds based on the calculated need of eligible aid applicants who have completed their first year.** With the retention rates of disadvantaged students remaining stagnant for some groups and worsening for others, we must reward institutions that enable their students to stay in school.

Second, USSA supports the National Education Association's proposal to ensure that **part-time students have access to campus-based student aid.** If an institutions' allotment is based on the financial need of part-time students, then at least 10% of its SEOG, CWS and Perkins Loan funds should be required to be used for such students, if their need is at least 10% of the total need of all students. Part-time students constitute 43.3% of America's college students and should have access to these crucial programs.

Third, USSA supports a number of changes in the **Congressional Methodology needs analysis system** - along with simplification of the entire application and delivery process - to ensure that needy students receive the amount of campus-based aid they genuinely require to access a postsecondary education. USSA will submit testimony next month that will explain with greater detail our recommendations for need-analysis. But essentially, USSA urges this subcommittee to consider:

- Eliminating the use of home and farm equity in the calculation of need for most families;
- Eliminating the inclusion of AFDC and other federal benefits in determining need, and ensuring that these benefits are not cut once a family receives Title IV student financial assistance;
- Establishing automatic eligibility for maximum aid for those students from families with proven need, such as AFDC eligibility;

- Modifying the definition of independent student to ensure that genuinely self-sufficient students receive such status and the level of aid they truly require;

- Decreasing from 70% to 50% the portion of a dependent student's income expected to go toward college expenses [this expectation is excessive and acts as a disincentive to working];

- Using a student's "estimated-year" rather than "base-year" income is used to calculate a student's expected income for the award year [the use of base-year income overestimates students' earning power by anywhere between 26% to 45%!];

- Elimination of the "double counting" of a student's savings.

In conclusion, USSA believes that the three campus-based programs play an important role in the federal government's commitment to equalizing access to higher education. Any further cuts in the Supplemental Educational Opportunity Grant, College Work-Study, and Perkins Loans programs would send countless students to the banks for more loans. And increases in maximum loan limits is not an adequate compensation. Low-income students should not be forced into choosing between taking on huge loan burdens, or foregoing college. A continuing overreliance on loans will mean that increasing numbers of students will face obstacles in their pursuit of higher education, while others will find their post-graduation life and career choices limited by loan indebtedness. At a time when institutions are imposing mid-year tuition increases, and states are facing huge budget cuts, the partnership between institutions and the federal government found in the three campus-based programs, as well as that between states and the federal government in the State Student Incentive Grant program, is an even more important tool in our struggle to ensure that all students, regardless of income, have access to a postsecondary education.

Thank you for this opportunity to testify today. I am pleased to answer any questions you might have.

RECRUITMENT AND RETENTION PROJECT

Students of color are being systematically shut out of higher education:

- Despite increases in the high school completion rates of African-American Latino students, the number of African-Americans and Latinos attending college has decreased sharply in the past decade.
- **90%** of all college faculty in the United States are white.
- Annually, **800 thousand to one million** college students are victims of ethnoviolence.

But our power is in our numbers!

- Higher education's pool of students is increasingly made up of youth of color-NativeAmericans, Chicanos/Latinos, African-Americans, Asian and Pacific Islanders.
- In **25 of our largest cities**, half of the public school students are of color.

The Recruitment and Retention of People of Color in Higher Education is organizing these numbers to fight for change.

- Fighting for **curriculum reform**. Let's put an end to Eurocentric education.
- Fighting for the recruitment and promotion of **faculty of color**.
- Fighting for more **financial assistance** or programs that stress recruitment and retention of students of color.
- Fighting **harrassment** and violence against all people of color on college campuses.

USSA
United States Student Association

To get involved with USSA and with the Recruitment and Retention Project, call or write:
Alicia J. Ybarra, Project Coordinator
1012 14th St. N.W. Ste. 200
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(202) 347-8772

FACTSHEET

College Enrollment Trends of Native Americans

Native Americans and Alaskan Natives continue to be extremely underrepresented in higher education, compared with their representation in the U.S. population. Little progress is being made in increasing their college enrollments.

- In 1988, Native Americans represented only 0.7 percent of the collegiate enrollment.
- Native American men's college enrollment is approximately 39,000.
- Native American women's college enrollment is approximately 53,000.
- 53 percent of Native Americans enrolled in higher education are in community colleges
- Only 52 percent of Native American students attend college full time.
- 11,000 Native American students are in independent institutions
- Of Native American high school graduates who entered college right after highschool only 53.7 percent persisted for four years.
- The number of doctorates going to Native Americans in 1989 remained extremely small. Native Americans received 93 doctorates out of 23,172 that were awarded to U.S. citizens.

Source: The American Council on Education's Nineth Annual Report on Minorities in Higher Education

USSA

For more information, write or call USSA at:
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FACTSHEET: Latinos in Higher Education

Equity of higher educational opportunity for all Americans, which was partly achieved by the second half of the 1970's, has been largely lost for African-Americans, Mexican-Americans, and those from low income backgrounds during the 1980's.

Latinos are a heterogeneous group and Mexican-Americans as a subset of the Latino population experiences the greatest problems in higher educational preparation and participation.

- The college enrollment rate for 18 to 19 year old **Mexican-American high school graduates** equalledthat of whites in 1974, but by 1988 it stood at **22 percent below the rate for whites**.
- Between 1974 and 1988, the **college entrance rate** for Mexican-Americans plunged.
- The **college enrollment rate** for other Latinos (Puerto Rican, Cuban, etc.) which was 9 percent above the white rate in 1974, was about **1 percent below the white rate by 1988**.
- Between **40% to 50% of the gains** in higher educational participation **made by low-income youth have been lost** during the 1980's.
- Out of every 100 Latino youth, 55 finish high school, 4 go to graduate school and only 2 go to graduate school.
- The proportion of 18 to 24 year old **low-income Latino** high school **graduates enrolled in college fell by 15 percentage points**, from 50.4% in 1976 to 35.3% in 1988.

JOIN USSA IN FIGHTING FOR A QUALITY EDUCATION THAT IS ACCESSIBLE TO ALL.

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FACT SHEET: Middle-Income African-Americans in Higher Education

Nothing exemplifies the reversal, during the 1980's, of all the progress African-Americans made in higher education than the story of middle-income African-American youth.

- **During the mid-1970's** the proportion of middle-income African-Americans and Latinos enrolled in college was **equal to, and in some cases higher than**, white middle income youth.

But this was short lived.

- **As of 1988**, proportionately fewer African-Americans and Latino middle-income youth enrolled in college than during the mid-1970's.
- **By 1989**, African-American students had about **52% of the chance of a white student** to have earned a baccalaureate degree by age 25 to 29.
- The American Council on Education did a study showing that middle-income African-American males were at a higher risk of dropping out of college **than did low-income African-American males**.

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National People of Color Student Coalition

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Fact Sheet: Asian and Pacific Islanders in Higher Education

The Asian and Pacific Islander population is comprised of many different ethnicities and languages. Asian and Pacific Americans hail from a multitude of cultures and political, religious and economic backgrounds. These differences among Asian Pacific Islander groups are exacerbated by the length of time each group has been exposed to the West.

Bilingual Education

Asian Pacific immigrants speak many languages including Chinese (which can mean one of a number of dialects like Mandarin, Cantonese), Vietnamese, Lao, Khmer, Hmong, Korean, Japanese, Tagalog, Thai, Malay, and others.

Thus, Asian Pacific Americans have a tremendous stake in bilingual education. Asian Pacific American educators say that bilingual education encourages and helps students to learn English.

Racial Violence

The trade imbalance with Asian Pacific countries and economic hard times have reawakened racist violence against Asian Pacifics, who increasingly suffer verbal harassment, vandalism, arson, beatings, and killings.

Model Minority Myth

The "model minority" myth perpetuated by the media obscures serious problems in the Asian Pacific communities including poverty, substance abuse, mental illness and domestic violence.

This myth also leads government officials and others to believe that Asian Pacifics do not deserve **social services, affirmative action programs** and other measures. Asian Pacific Americans are unique among racial minorities in that they are accused of being over represented on college campuses. Yet personal income, for Asian Pacific Islanders, even when highly educated, continues to fall short of personal income for white males.

In 1988 at the University of California Los Angeles, Pilipinos were removed from eligibility for affirmative action. The result was a **31% drop in Pilipino freshman enrollment to UCLA.** This drop when linked to the university's poor Pilipino student retention rate (**Pilipinos have a 47% drop out rate**) and the rapid growth of California's Pilipino population (predicted to increase by 162.6% by the year 2000) points to a dismal future for the Pilipino community at UCLA.

Lastly, the seeming superiority of this "model minority" alarms some Americans, who feel that Asian Pacifics are "taking over." Because Asian Pacific Americans are not regarded as real Americans, they are seen as a theat rather than an asset to U.S. society.

For more information, write or call USSA at:
1012 14th St. N.W. Ste. 207
Washington, D.C. 20005
(202) 347-8772

Sources: Asian Pacific Americans by National Conference of Christian Jews, Asian and Pacific Islander Concerns, National Education Association

Chairman FORD. Mr. Mertz.

Mr. MERTZ. Thank you, Mr. Chairman, members of the committee.

On behalf of the 14 national organizations whom I represent today, I am pleased to come before you to talk about the campus-based programs. We in higher education view the campus-based programs as being extremely important, not merely in the dollars that are provided, but also in the effectiveness. We see these programs as integral and as an integral part of an effective delivery system.

What we are here on behalf of higher education is to seek, one, to preserve those programs; to increase the resources for needy students; and to enhance an already effective system. We have seen over the period of time since these programs were initiated that the student population that they are serving has become an extremely diverse population.

We are not merely dealing any more with full-time undergraduate students; we are dealing with first-time students, single parents, with part-time students. Just as all of American higher education is reflecting an extremely diverse population, so too these campus-based programs give us an opportunity to respond to the diversity of the campus populations.

I think you have already heard the effect and the impact that inflation has had on these programs, and you have heard from the Chairman himself the number of students who receive support under SEOG, CWSP, and the Perkins Loan program. We in the higher education community view the Pell and campus-based programs as complementary parts of one Federal aid system.

What we seek is increased authorization so that we will provide the opportunity for increased assistance to our students. We see these programs as providing an alternative to debt, an option with respect to loans, but, most importantly, a flexibility to the institution with respect to the packaging.

In many ways, the response that the administration has given is not merely disappointing, but it is also nonresponsive to this particular goal and desire of the higher education community. The suggestion that we eliminate capital contributions to Perkins, the suggestion that we reduce the SEOG and CWSP authorizations and appropriations by 33⅓ percent so that more dollars would go to Pell does not respond to this. What we would be in effect doing is reducing campus-based awards to 346,000 students in order to provide larger awards to 400,000 fewer students under the Pell program.

Thus, we ask that, if we are consistent or consonant in our belief that we should be providing aid to more and more students, that we seek to do this in a way in which it does do it; that is, by the preservation and enhancement of the campus-based programs that we have.

My colleague, Alicia, just touched on one point. We in higher education believe that there should be not only a responsibility which we can call accountability, but we also believe that there should be an acknowledgement of accountability.

One of the biggest single problems that we are facing in higher education today is what I would call either attrition or persistence, depending on whether you view a cup as half full or half empty. There are many blocks to completing higher education. Those blocks seem to arise most significantly in the low-income student. Over 40 percent of low-income students, as contrasted to 60 percent of high-income students, persist to 4 years of higher education or 6 years to receive the baccalaureate.

We have an awful lot of dropouts throughout higher education. What we in the higher education community want to do is to put an increased emphasis on persistence and retention. We feel by allocated added dollars we can provide an incentive to those institutions who have had students complete the first and second year. We do endorse the concept of increased transfer authority so that we would have an ability to transfer approximately 25 percent of the SEOG, CWSP, and Perkins funds, as contrasted to the present 15 percent transfer ability.

At the same time, we also are willing, in a sense, to become partners, but not partners at the level which the administration calls for. We do feel that the matching grant requirement can be increased, but we seek to increase it at the 25 percent level, as contrasted to the 10 percent on Perkins now, 15 percent on SEOG, and 30 percent on the Work-Study.

We oppose, wholeheartedly and uniformly, the administration's request that the matching requirement be increased to 50 percent as a "sign" of our good faith and partnership. Such a requirement would become onerous and a significant burden on those institutions that are least able to support that kind of an increase.

Let me for a second speak in terms of my own institution and maybe one of our students. Fairleigh-Dickinson University is the largest independent university in the State of New Jersey, enrolling now approximately 12,000 students. We offer over 100 degree programs, ranging from the associate of arts through the Ph.D. in clinical psychology. We currently enroll one-third of those students in master's programs in the State of New Jersey and have the third largest enrollment in M.B.A. programs in the United States.

Over 70 percent of our full-time undergraduate students receive aid, an average award of about $6,000, when we consider the Federal, State, and institutional shares. At the current time, the funds that we administer at our institution exceed $21 million. Of that, over $8 million is unfunded student aid, nearly 40 percent of the total.

We are stretched to the limit. An effort to increase, let us say, the partnership in CWSP to 50 percent would increase our cost, just on that program, without any significant benefit to the student, by over $250,000. Right now we receive over $4 million from the series of Federal aid programs, over $1.5 million of which is campus-based. We see the campus-based programs as providing a flexible way in which we can combine loans, work, and grants in a manner that no formula program will ever allow.

Just recently it came to my attention that one of our students, a student by the name of Kim, who had just completed the first 2 years of her attendance at the university, was undergoing a significant financial aid problem. She is the child of a single parent with one other sibling. Her mother earns about $25,000 per year.

During her first 2 years, Kim received Pell awards of about $2300, but to help meet her educational expenses last year, Kim took a part-time job. As a result, for 1991–92, her Pell Grant would be reduced to $630. She was faced with the option of either, A, dropping out of school, or, B, increasing her work load so that she would be able to study less, or, finally, increasing her loan indebtedness.

What we were able to do, through the use of the SEOG program and the various aid components that we have, is to package the kind of program which allows us to fulfill our goal, and that is that a student's choice of an educational institution should be based on academic considerations and not mere financial resources. When Pell went down, we were able to respond with SEOG.

We ask you, in your considerations, to enhance and increase these programs, and we would be willing to respond in any way we can, at the appropriate time, to your questions.

Thank you, Mr. Chairman.

[The prepared statement of Francis J. Mertz follows:]

Insert #3

STATEMENT

to the

SUBCOMMITTEE ON POSTSECONDARY EDUCATION

COMMITTEE ON EDUCATION AND LABOR

UNITED STATES HOUSE OF REPRESENTATIVES

June 26, 1991

by

Francis J. Mertz, President,
Fairleigh Dickinson University

On behalf of:

American Association of Community and Junior Colleges
American Association of State Colleges and Universities
American Council on Education
Association of American Universities
Association of Catholic Colleges and Universities
Association of Community College Trustees
Association of Jesuit Colleges and Universities
Association of Urban Universities
Council of Independent Colleges
National Association for Equal Opportunity in Higher Education
National Association of College and University Business Officers
National Association of Independent Colleges and Universities
National Assn. of Schools and Colleges of the United Methodist Church
National Association of State Universities and Land-Grant Colleges

Mr. Chairman and Members of the Subcommittee:

I appreciate this opportunity to complete the recommendations of the undersigned national associations for reauthorization of the student assistance programs of Title IV of the Higher Education Act.

On May 21 we outlined our proposals to strengthen the administration and enhance the integrity of federal student aid programs. We presented our recommendations for major changes in the Pell Grant program on June 4, and for the student loan programs on June 12. Today, we offer our suggestions for the campus-based programs.

Our objective for all of the Title IV student aid programs is to increase the amount of grant resources available to needy students, restore the value of their awards, and thereby reduce their dependence on loans. A major increase in the Pell Grant maximum is the cornerstone of our recommendations to accomplish these objectives, but it is also essential to provide substantial increases in the campus-based programs.

The Need for Campus-Based Aid

An even more diverse population is now served by federal student aid than when the programs were first created. It is a population that depends greatly on aid packages flexibly tailored to individual circumstances. They are older, some are single parents, many are part-time--some with full-time employment. Yet the value of the campus-based programs has been seriously eroded by inflation over the past decade: Supplemental Educational Opportunity Grants (SEOG) by 14 percent, College Work-Study (CWS) by 34 percent, and Perkins Loans by 67 percent.

Undergraduate students have a documented need for over $17 billion after expected family contributions, Pell grants, and state need-based grants are subtracted from their cost of attendance, according to auditable data collected by the Education Department as part of the process of applying for campus-based aid.

Clearly, this amount of need cannot be met by an increase in Pell Grants alone. The campus-based programs are a vital source of additional assistance, particularly for needy students attending baccalaureate institutions. In Academic Year 1991-92, SEOG will provide awards averaging $700 to an estimated 835,000 students; CWS will make available part-time employment averaging $945 for some 827,000 students; and Perkins Loans will make low-interest 5% loans averaging $1250 to 700,000 exceptionally needy students.

Therefore, we strongly support continuation and expansion of the campus-based student aid programs as essential supplements to the Pell Grant program. Increased authorizations for the programs would increase the prospect of additional assistance, which would give students an alternative to assuming greater debt and a practical option of substituting work for loans. It would also give institutions greater flexibility in packaging assistance according to individual needs.

In view of the evidence that substantial increases in the campus-based programs are necessary, the Administration's recommendations provide a disappointing non-substantive response: instead of increasing the campus-based programs, it would eliminate capital contributions to the Perkins Loan program and reduce the authorizations for SEOG and CWS by one-third "to permit more funds to be directed to...the Pell Grant program." Thus, the Administration would reduce the number of campus-based awards by 346,000 in order to provide larger Pell awards for 400,000 fewer recipients. The Administration's proposal to end capital contributions to the Perkins Loan program is also unfortunate. Replenishment of Perkins revolving funds through new federal capital insures continuation of an important source of loans for exceptionally needy students. The program enables institutions to package aid more effectively for such students, providing them directly with low-interest loans (in small amounts which commercial lenders find unprofitable) as needed in addition to grants and work opportunities.

The Problem of Retention and Completion

The availability of additional campus-based aid is also important, not only to provide expanded educational opportunities but to increase the prospects for successful completion of postsecondary programs. Low-income, at-risk students tend to have many handicaps to overcome, such as lack of academic preparedness as well as financial resources. Consequently they persist in college and graduate at a much lower rate than their fellow students from higher-income backgrounds. Only about 40 percent of low-income students who enter a four-year college persist for four years or complete a BA within six years, compared to 60 percent of high-income students. Further, dropouts from postsecondary programs constitute half of all defaults on Stafford loans.

Such students must not only receive increased financial aid, they must have more information and other resources earlier in their middle school and secondary school years to prepare them to pursue the postsecondary programs most appropriate to their needs and interests. In addition, postsecondary institutions must exert increasing efforts to help them complete their education successfully.

We recommend several substantive changes in the campus-based programs to address the serious problem of low retention and completion rates in postsecondary programs, and to improve the flexibility of the programs to meet individual needs:

• Establish an incentive for persistence and retention in higher education by allocating additional campus-based funds based on the calculated need of eligible aid applicants who have completed the freshman year.

Institutions would continue to award campus-based funds to all classes of students as they do now, but those doing a better job of retaining students and encouraging them to complete their programs would receive a larger allocation of any future increase in funds.

• Expand authority to transfer funds among campus-based programs. Specifically, permit institutions to transfer up to 25 percent of SEOG, CWS, and Perkins funds among the programs. Currently only 15 percent of SEOG and CWS funds can be transferred.

In exchange for such added flexibility to use campus-based aid, we suggest that the institutional matching requirement could be increased in the aggregate to a uniform 25 percent rate for all three programs (currently the match is 10 percent for Perkins, 15 percent for SEOG, 30 percent for CWS). By leveraging additional institutional funds, the increased match would expand the pool of campus-based aid for needy students. However, we oppose the Administration's recommendation to raise the matching requirement for SEOG and CWS to 50 percent, which would place too great a strain on the budgets of small, modestly-funded institutions.

I want to turn now to my institution, Fairleigh Dickinson University, to illustrate for you the impact that the federal campus-based funds have on our total financial aid program and on individual needy students.

Fairleigh Dickinson is the largest private university in New Jersey, serving around 12,500 full- and part-time students of all ages. We offer approximately 100 undergraduate and graduate degree programs, including a number of specialized programs of study such as those in nursing, marine biology and the weekend Master of Business Administration (MBA) and Master of Public Administration (MPA) programs. The average budget for a full-time, resident undergraduate this academic year is $18,040. This includes tuition, fees, room, board, books, supplies, transportation, and other miscellaneous expenses.

Nearly 70 percent of our full-time, undergraduate students receive financial aid, and the average financial aid package--including grants, loans, and student employment--now totals around $6,000. We meet the needs of our students for financial assistance through the traditional sources: federal, state, institutional, and private programs. But what is so striking to me is the amount of funds the university commits yearly to student aid compared to the diminished level of assistance available from the federal programs.

Fairleigh Dickinson's annual student aid program is now around $21 million. We contribute over $8 million--over 33 percent of the total--from the institutional operating budget. This is a commitment on the part of the university that rests at the core of the institution's purpose--to provide the opportunity for a quality education to students from all backgrounds. But we have stretched literally to our limit to provide steadily increasing levels of institutional grant support over the last decade in the face of relatively flat levels of federal grant assistance. This commitment ultimately comes at a high price: it strains our very capacity to operate by decreasing funds available for our academic programs, for our libraries, and for faculty salaries.

Our students receive around $4 million from the federal student aid programs--less than half of the amount provided directly by the university. Of the $4 million in federal funds, approximately $1.5 million are provided to our students through the campus-based programs.

Campus-based funds are the only funds we receive from an outside source that come with the flexibility we need to meet individual student needs and circumstances. These programs give us the opportunity to address a needy student's particular circumstances through a grant, a loan, work experience, or a combination of the three. Formula-based programs such as Pell Grants are not designed to do this. The campus-based programs are unique: by their design, they allow us to recognize and respond to the uniqueness of each one of our students.

These programs allow us to help students like Kim. Kim is in her junior year at Fairleigh Dickinson. She comes from a single-parent home, with one other sibling, and her mother earned approximately $25,000 last year. For her first two years at the university, Kim received full Pell Grants of $2,300. However, because she took on a part-time job to supplement the family income, she will receive only a $630 Pell Grant during the current academic year. Kim's mother has asked her to drop to part-time status at the university and work full-time in order to make ends meet.

Kim will receive over $10,000 in grants in 1991-92 to help her meet her costs of $18,000. Of the $10,000, she is receiving a $630 Pell Grant, $1,200 from SEOG, and the university is providing $4,000 in grant funds. The remaining grant support comes from the state's Tuition Assistance Grant and Educational Opportunity Fund. Her family is expected to contribute around $3,100, and she will meet the remainder of her expenses with a $4,000 Stafford loan.

In Kim's case, the university attempted to sustain her level of grant support, despite a significant loss of funds from the Pell program. Funds from SEOG, which we target to Pell Grant recipients with exceptional financial need, allowed us to meet her need without increasing the amount she would have to borrow or work.

Thank you for this opportunity to outline the recommendations of the higher education associations for the campus-based programs. I would be glad to answer any questions.

Chairman **Ford**. Ms. Norsetter.

Ms. **Norsetter**. Thank you.

I am Rhonda Norsetter, and I serve as associate director of the Office of Student Financial Services at the University of Wisconsin-Madison. I am also a member of the Reauthorization Task Force for the National Association of Student Financial Aid Administrators, NASFAA.

I am proud to recognize the Wisconsin members of this subcommittee, Representatives Petri, Gunderson, and my own congressman, Mr. Klug, all of whom are strong supporters of the Federal assistance program. And let me thank Mr. Klug for his kind words in introducing me and for his terrific job of representing us here in Washington. Thank you.

It is a pleasure to express the views of NASFAA and its 3,300 members on changes we believe should be made in the campus-based programs. It is appropriate to step back and evaluate, objectively, whether or not these programs are achieving their purposes. NASFAA believes the campus-based programs are successfully meeting their objectives by furnishing grant, work, and low-interest loan assistance to needy students. All three should be reauthorized because of their importance in packaging a variety of programs responsive to individual student financial needs and unique circumstances.

I would like to highlight some of NASFAA's recommendations in each program area, and a complete description of our recommendations is included in our written statement.

First, the Supplemental Educational Opportunity Grant. The greatest advantage of the SEOP program is that it allows institutions to be more sensitive to student needs and it reduces student borrowing. The program acts as an effective complement to the formula-driven Pell Grant and GSL programs, allowing institutions to aid needy students that have fallen between the cracks.

NASFAA recommends repeal of the law giving priority for Supplemental Grants to Pell Grant recipients. For example, we see many cases where students, ineligible for a Pell Grant due to its formula nature, have greater need than some Pell Grant recipients. This change also would help us to respond to the needs of nontraditional students.

The lack of sufficient Federal funding, regrettably, forces institutions to choose to aid one group of students instead of another: part-time versus full-time students; Pell versus non-Pell recipients. All deserve support. Consequently, NASFAA recommends raising the SEOG program authorization in stages to $800 million in fiscal year 1996 to meet the needs of all types of students. The proposed authorization increases our reasonable expectations for Federal appropriations, given historic funding patterns.

To increase the available pool of grant aid, NASFAA recommends tying the percentage of funds matched by institutions to the level of Federal appropriations for the SEOG program. As appropriations rise, the institutional match would also rise. The Appropriations Committee will understand that meeting certain specified funding marks will mandate an increased financial commitment on the part of the institutions. We believe this change will spur greater congressional SEOG funding.

Coupled with our recommendations for a matching requirement tied to appropriation levels, NASFAA recommends this be a real dollar match. Matching funds should represent a real infusion of dollars, not simply institutional accounting entries. NASFAA also recommends a waiver provision for institutions unable to meet this increased match.

Let me now turn to the College Work-Study program. Students employed in the program participate in a wide variety of campus and off-campus employment activities. The Madison campus attempts to provide work-study students with employment opportunities in their desired field of study or one closely related, when that is the student's preference.

However, it has been my experience that many students we serve like to take jobs in areas totally unrelated from their academic major to expand their knowledge and gain new working skills. I have observed that the Work-Study program enhances student's educational experience and serves to increase student retention. The Work-Study program represents a self-help concept that imparts a sense of participation in college financing, developing a sense of self-esteem and responsibility.

Consequently, NASFAA recommends that the authorized level for Work-Study be increased in steps to $850 million by fiscal year 1996. This expansion will accommodate the many students who wish to work but can't now, since institutions do not have the Federal funds to support them.

The final program I wish to discuss is the Perkins Loan program. NASFAA recommends increasing the annual Perkins Loan maximum to $3,000 for all undergraduates and the annual graduate maximum being increased to $5,000. Our suggested amendment allows an institution to establish lower annual and aggregate loan limits for its students.

We suggest a 5 percent interest rate through the first 4 years of repayment, at which time the rate would increase to 9 percent. NASFAA recommends this change to encourage more timely repayment while still providing students with a low-interest loan. We believe this will help increase the capitalization of the Perkins Loan revolving funds, enabling institutions to extend loans to more students.

We believe the nine loan deferment categories could be reduced to three without causing any student hardship, making the program easier to administer and explain to borrowers.

The SEOG and Work-Study programs are indispensable programs that prevent many students from borrowing more than is advisable and provide other major benefits, such as increased retention rates and development of student work skills. Perkins Loans allow students to borrow with less burdensome repayments than the GSL programs and with greater simplicity for borrowers and institutions.

The major criticism that may be leveled at the operation of these programs is not the fault of the programs; it is underfunding of the programs which cannot meet the demand for program services by students and the instability and uncertainty caused by almost constant attempts to eliminate or reduce them.

The campus-based programs have the advantage of sensitivity in meeting student financing needs in unique circumstances. They provide necessary and desirable institutional flexibility in partnership with the Federal Government.

In my view, if Pell Grants are the foundation, then these programs have been the cornerstones of student financial assistance for over 25 years and have made a difference in the lives of millions of students. Their comprehensive approach to meeting need—grant, loan, and work—is as successful today as it was at their inception, and, with increased funding, can be even more pivotal and important to ensure educational opportunity in the future.

NASFAA believes Supplemental Educational Opportunity Grants, College Work-Study, and Perkins should be there for the students of the future. That decision is yours to make.

I would be pleased to answer any questions, and thank you for the opportunity to testify. NASFAA looks forward to working with you on behalf of students and families across the country.

Thank you.

[The prepared statement of Rhonda Norsetter follows:]

STATEMENT OF
THE NATIONAL ASSOCIATION OF
STUDENT FINANCIAL AID ADMINISTRATORS

BEFORE THE HOUSE SUBCOMMITTEE

ON

POSTSECONDARY EDUCATION

PRESENTED BY

RHONDA NORSETTER
ASSOCIATE DIRECTOR
OFFICE OF STUDENT FINANCIAL SERVICES
UNIVERSITY OF WISCONSIN-MADISON

June 26, 1991

Mr. Chairman and Members of the Subcommittee, my name is Rhonda Norsetter and I am Associate Director of the Office of Student Financial Services at the University of Wisconsin-Madison. Currently, I am also a member of the Reauthorization Task Force of the National Association of Student Financial Aid Administrators (NASFAA). It is indeed a pleasure to have the opportunity to appear before you today to express the views of NASFAA and its nearly 3,300 members on changes that we believe should be made in the Campus-based Programs. I am proud to recognize the Members of this Subcommittee from Wisconsin, Representatives Petri, Gunderson, and my own Congressman, Mr. Klug, all of whom are strong supporters of the federal student assistance programs.

The three Campus-based Programs--Supplemental Educational Opportunity Grants (SEOG), College Work-Study (CWS), and Perkins Loans--are the oldest of the Title IV programs. As you prepare for Reauthorization of the Higher Education Act (HEA) it is appropriate to step back and evaluate objectively whether or not these programs are achieving their purposes. NASFAA believes the Campus-based Programs are successfully meeting their objectives by furnishing grant, work, and low-interest loan assistance to needy students. We believe all three should be reauthorized, because of their importance in packaging a variety of programs sensitive to individual student financial needs and unique circumstances. If there is a problem with these programs, student financial aid administrators would say that the programs have not been funded at sufficient levels to provide enough funds to meet the demand for services by students. In this regard, Chairman Ford, NASFAA wants to acknowledge your successful efforts in the past and, especially, this year to fight in Congress for increased student aid. We are very appreciative of your labor for, and commitment to, providing educational opportunities for all Americans.

The perspective I will share with you today should help to demonstrate the effectiveness of each of the Campus-based Programs which serve hundreds of thousands of students every year enabling them to achieve their educational dreams and career aspirations. The University of Wisconsin-

Madison, we believe, has the largest Perkins Loan program and we administer SEOG and CWS Programs which are among the top ten largest programs in the nation. At the university, we know first-hand of the practical utility that the Campus-based Programs bring to students needing help to finance their education. I wish to briefly describe each program and present NASFAA's recommendations for changes and improvements in these programs that I believe the Subcommittee should address in this Reauthorization of the Higher Education Act.

SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT (SEOG) PROGRAM

The Supplemental Educational Opportunity Grant Program was authorized as part of the Higher Education Amendments of 1972 enacted June 23, 1972, to provide grants to needy students attending postsecondary institutions, who, for lack of financial means of their own or of their families, would be unable to obtain a postsecondary education without the grant. Currently, funds must be awarded first to students with exceptional financial need with priority going to those students who are Pell Grant recipients.

Funds in this program are allocated by formula to participating schools which use them to make awards to undergraduate students with demonstrated financial need. Beginning with FY-91, the federal share of student awards in the SEOG Program cannot exceed 85 percent; the remaining 15 percent of the student awards are contributed by each participating institution. It is estimated that the FY-91 appropriation of $520.2 million will provide awards to some 835,000 needy students during the 1991-92 award year. In Wisconsin, using the most recent Department of Education data in Award Year 1988-89 the total number of recipients in the state was 30,897 students; the amount awarded by colleges totaled $13,338,738. That year the average SEOG was $622 nationally and $432 in Wisconsin. At the University of Wisconsin-Madison approximately 4,400 students received an estimated $2,800,000 in SEOG grants during Academic Year 1990-91.

Funds are allocated to institutions based on their FY-85 allocation. In any year in which the appropriation for SEOG exceeds the FY-85 level, the first 25 percent of the excess funds is allocated as an equal percentage to all institutions. The remaining 75 percent of the excess is allocated on the basis of institutional need.

Grants may be awarded to enrolled undergraduate students who meet the general eligibility criteria specified by statute and regulation. The maximum annual award is $4,000, and the minimum award is $100; both the minimum and maximum awards must be pro-rated for less than full academic year attendance. Institutions have discretion to use their allocations for less than half-time students and are required to allocate a reasonable portion of their funds to such students if they are included in the school's calculation of need.

The largest advantage of the SEOG Program, for both students and institutions, is the fact that it allows financial aid administrators to be more sensitive to the needs of their students. The program acts as a very viable and effective complement to the formula-driven Pell Grant and Guaranteed Student Loan Programs by allowing institutions to aid needy students that have "fallen between the cracks." Supplemental Educational Opportunity Grants are used in support of Pell Grants which are considered the foundation upon which all financial aid packages are developed. The SEOG helps to create some balance between gift and loan assistance which serves as a key element with future success in helping to reduce student loan default rates. It is unfortunate that insufficient funding prevents wider use of this program.

In recent years, however, both additional regulation and inadequate funding of the program have limited our ability at the University of Wisconsin-Madison, as well as that of my colleagues across the country, to be as flexible as we would like to solve the financing problems of students with high remaining need. NASFAA strongly recommends repeal of the provision in the law that mandates that a student receiving a Pell Grant be given priority for a Supplemental Grant. We make this recommendation to help students who have greater aggregate need for a SEOG than many Pell recipients and to respond to the needs of non-traditional students such as those who attend our institutions less than half-time.

For example, we see many cases where students, ineligible for a Pell Grant, have greater computed need than some Pell Grant recipients. Also, non-traditional students who are enrolled on a less than half-time basis and who are not eligible for a Pell Grant because of past, and perhaps future Appropriation's bill language prohibiting their eligibility are affected negatively by this Pell Grant first requirement. Further, if the Congress accepts NASFAA's recommendations to substantially increase the maximum Pell Grant award and direct that the program be a true entitlement, then substantial amounts of aid will be targeted on our very neediest students. That result would allow indigent students to be served chiefly by the Pell Grant Program and, consequently, if the Pell Grant prerequisite for SEOG funding were removed, then institutions would be able to direct SEOG monies to students with the greatest need. Like you, student financial aid administrators too want to ensure that our neediest students receive priority for grant funds, but sometimes, due to its formula nature, Pell Grant recipients are not our neediest students. This requirement has also resulted in some schools being cited by Education Department auditors for non-compliance, when they have honestly awarded SEOG funds to deserving students.

Because "need" for Campus-based funds is determined on the general principle that cost minus Family Contribution minus resources equals need, imposing other criteria for selection interferes with this basic need equation. Further, the priority selection criteria now in effect do not allow institutions to take into account special circumstances of individual students (use of professional judgment to award SEOG to a non-Pell Grant recipient ahead of Pell Grant recipients, for example, has been deemed inappropriate by the Department).

Using another example, a dependent freshman paying in-state tuition rates might have an Family Contribution of $700, based on the minimum contribution requirement of Congressional Methodology. A single independent freshman paying higher out-of-state tuition rates might have an Family Contribution of $1,200, based on the minimum contribution for that model. Both individuals would have zero Family Contributions were it not for the minimum contributions. Further, the in-state student will receive a state grant, whereas the out-of-state student will not, although both will receive Pell Grants. Under this scenario, the independent student may have remaining need (cost minus Family Contribution minus resources) of far more than the dependent student, yet the dependent student will be in line for an SEOG ahead of the independent student based solely on the Family Contribution figure. The inequity becomes even harder to explain if the independent student were not eligible for a Pell Grant, for that student's remaining need would be higher yet, and he or she would be behind other students with higher Family Contributions but who will get Pell Grants. When you reauthorize the program, NASFAA hopes that the Subcommittee considers allowing institutions more flexibility in determining the priority for awarding SEOG funds so that the student with the greatest remaining need and non-traditional students may be served by the program.

The inability of federal funding for the SEOG program to keep pace with inflation or the rise in student costs associated with attending a postsecondary institution has also hurt institutional flexibility in the program and denied students educational opportunities. As an example, due to limited funds and the enormous demand for those funds, many institutions award few or no SEOG dollars to less than half-time students because so many of their at least half-time or greater and full-time students have unmet need. The lack of sufficient federal program funding regrettably forces institutions and financial aid administrators to choose to aid one group of students instead of another group--each deserving of support. Consequently, NASFAA recommends substantial increases in the authorization for the SEOG Program. We suggest raising the authorization to $800 million in stages by FY-96. The proposed increases in authorizations are reasonable expectations for federal appropriations given historic funding patterns. At the same time, NASFAA recognizes that institutional requests for SEOG funding far outstrip current funding for the program.

Another component of our recommendations for change in the program would be to establish institutional matching requirements contingent on specific appropriation levels, and specifies the source of such institutional matching funds. NASFAA recommends this change to encourage increased total funding for the SEOG Program from both federal and institutional sources. To increase the available pool of grant aid we recommend the triggers for institutional matching would be 5 percent of such awards in the first fiscal year after adoption of these amendments, 10 percent of such awards for any fiscal year such appropriation is equal to or greater than $650,000,000, 15 percent of such awards for any fiscal year such appropriation is equal to or greater than, $700,000,000, and 20 percent of such awards for any fiscal year such appropriation is equal to or greater than $750,000,000. The Appropriations Committees will understand that meeting certain specified funding marks will mandate an increased financial commitment on the part of institutions by requiring a larger matching requirement. We believe this change will spur greater SEOG funding provided by the Congress.

Coupled with our recommendations for an increased matching requirement tied to appropriation levels, NASFAA recommends this match be a "real dollar match" to increase further the amount of grant funds to students and to reduce the reliance on loans. Matching funds should represent a real infusion of dollars, not simply institutional accounting entries as is the situation in far too many cases today. Eligible sources for the match could include institutional money and institutionally-controlled scholarships and grants as is the current practice. However, NASFAA suggests that the use of accounting methods with federal and state scholarships, grants and tuition waivers be eliminated for the purpose of meeting the required match. NASFAA also recommends a waiver provision granted by the Secretary for institutions that are unable to meet this increased match.

The SEOG Program has, year after year, proven to be a very successful and essential program in helping Wisconsin residents attend a postsecondary institution. I remain concerned, however, about proposals that would substantially increase the institutional matching requirement for participation in the Campus-based Programs--some proposals with increases as much as 50 percent. Wisconsin, like many other states, is experiencing budget problems due to the poor performance of the economy. State institutions could be put in a precarious position and risk losing the benefit of entire programs or substantial portions if the matching requirement were significantly increased in the near-term and states could not meet federally mandated obligations.

COLLEGE WORK-STUDY (CWS) PROGRAM

Next, I would like to turn my attention to the College Work-Study (CWS) Program. The CWS Program was authorized as part of the Economic Opportunity Act of 1964 to stimulate and promote the part-time employment of undergraduate and graduate/professional students who need earnings from employment to finance their courses of study at eligible institutions. The fact that CWS funds can be used to aid graduate/professional students is a very important feature for many institutions, but insufficient federal support has precluded many institutions from fully utilizing this provision of law.

We believe that this is one of the most successful student aid programs and should be expanded. It utilizes the taxpayer's dollar twice. First by helping the student pay his or her college expenses and, second, by helping the employer expand services. For example, students at the University of Wisconsin-Madison receive much better service at the Student Financial Services Office because we are able to employ many more student assistants than would otherwise be possible. Likewise, community non-profit agencies can expand their services to citizens of the communities because they are able to employ students. The program has two additional benefits in that: a) in many cases it has been shown that students who work get better grades than students who do not and often their persistence and retention rate is higher, and b) having jobs available reduces the need for students to rely on borrowing.

Funds are allocated by formula to participating schools, which in turn use these dollars to create and subsidize part-time employment opportunities for needy students. The FY-91 appropriation of $594.7 million is expected to provide jobs to more than 827,000 students, with an average award of $945, at approximately 3,900 eligible postsecondary educational schools. In Wisconsin, using the most recent Department of Education data in Award Year 1988-89, the total number of students employed by the program in the state was 17,973; and they earned $13,762,574; the state average amount earned was $766 in the College Work-Study Program. At the University of Wisconsin-Madison during Academic Year 1990-91 approximately 2,100 students earned an estimated $2,300,000 from the CWS Program. Nationwide, nearly 70 percent of these funds go to students with family incomes of $24,000 or less. Approximately 55 percent of the monies go to students in public institutions, 42 percent to students in private schools, and 2 percent to proprietary school students.

Between 1968 and 1988, federal funds covered up to 80 percent of student wages, with the remaining 20 percent being paid by the institution, the employer, or some other donor. The 1986 Reauthorization Act increased the institutional matching requirement, with the federal share of compensation paid to students employed in the regular CWS Program decreasing from 80 percent in academic year 1988-89, to 70 percent in academic year 1990-91. Thus, over three years, institutions have increased their matching percentage from 20 percent to 30 percent of programs costs, while federal funding has declined or remained constant. Many of our member schools have had difficulty in meeting this last increase. We recommend that the appropriate level for institutional matching in the CWS Program should remain as it is in current law. An additional matching rise may result in reductions in overall work-study efforts as states facing the recession and cutting their programs will not be able to meet increased federal matching requirements. If this occurs, the people most affected will be needy students who, in turn, probably will have to rely even more heavily on loans.

Funds are allocated to institutions based on their FY-85 allocation. In any year in which the appropriation for CWS exceeds the FY-85 level, the first 25 percent of the excess funds is allocated as an equal percentage to all institutions. The remaining 75 percent is allocated on the basis of institutional need.

Students employed in the program participate in a wide variety of campus and off-campus employment activities. The University of Wisconsin-Madison attempts, whenever possible, to provide CWS students with employment opportunities in their desired field of study or one closely related when that is the student's preference. Therefore, in many instances, employment in the program provides students with the opportunity to receive training and experience in their selected course of study. However, it has been my experience that many students like to take jobs in areas totally unrelated from their academic major to expand their knowledge and gain new working skills.

I have observed that the College Work-Study program enhances a student's educational experience and serves to increase student retention. College Work-Study provides opportunities for work experiences to a wide range of eligible students in an integrative process with students from differing cultural backgrounds. Real-life work experiences enable the student recipient to become more acclimated to the academic community in which they have chosen to become a part. The

CWS Program also represents a "self-help" concept that imparts a sense of participation in a student's overall college financing and helps develop a sense of self-esteem and responsibility.

Students employed in the CWS Program must meet the general criteria specified by statute and regulation. There is no minimum or maximum CWS award amount specified by statute. However, in determining the amount to be awarded, the institution considers the individual student's financial need, number of hours per week the student can work, the length of the academic program or period of employment, the anticipated wage rate, and the amount of other assistance available to the student. Wage rates are a function of the duties and responsibilities of the particular job, but, following federal law, must be at least equal to federal minimum wage standards.

NASFAA recognizes that the College Work-Study Program is one of the most successful of the Title IV programs, assisting thousands of students to work while they are in school. Consequently, we recommend that the authorized level for CWS be increased in steps to $850,000,000 million by fiscal year 1996. Such an expansion will accommodate not only recent and possible future increases in the minimum wage, but also to serve many more students who wish to work. Further, an expansion of the authorized level in the program will accommodate increased funding for CWS community service initiatives and the Job Location and Development Program that are currently part of the Higher Education Act.

The law specifies that CWS employment may not be subsidized for students whose employment income is more than $200 greater than their need. NASFAA suggests that employment income of more than $500 in excess of need be the point at which subsidization with CWS funds is discontinued. The $200 tolerance level has been in effect since 1976. It should be increased to provide the flexibility needed to address student employment circumstances today.

The current law allows institutions to carry-forward or carry-back 10 percent of its College Work-Study funds. Allowing for institutional flexibility in changing demographic and financial times, this is a valuable management tool. We recommend that this authority continue unamended.

Another component of the College Work-Study Program is the Job Location and Development (JLD) program. Under the JLD Program, an institution may use up to 10 percent of its federal CWS allocation or $30,000, whichever is less. The program is designed to expand off-campus job opportunities for all eligible students who want jobs, regardless of their financial need. At the University of Wisconsin-Madison, we have developed a JLD program and it has helped many of our students to find part-time employment in the community. In fact, we project that the job postings in our Student Job Center will generate $8.5 million in student earnings this year. NASFAA recommends continuation of this beneficial program.

The Community Service Learning (CSL) Program is designed to develop, improve, or expand services for low-income individuals and families, or to solve particular problems related to the needs of low-income individuals. It is a program of student work that provides direct and tangible services to improve the quality of life for community residents. Students are provided with work-learning opportunities related to their educational or career goals. Community services may include activities related to such fields as health care, education, welfare, social services, public safety, crime prevention and control, child care, literacy training, housing, neighborhood improvement, and more. Schools may use up to 10 percent of their CWS allocation for community service learning programs. At the University of Wisconsin-Madison, we have begun a program under CSL that is providing summer jobs for high need students in our special FASTrack Program. The jobs entail work with disadvantaged children in the Madison community. Although this is a new program, it is receiving high marks from everyone involved.

PERKINS LOAN PROGRAM

The final program I wish to discuss is the Perkins Loan Program, named after the former Chairman of the Committee on Education and Labor Rep. Carl D. Perkins. This program is the grandfather of all student aid programs and is authorized in Title IV part E of the Higher Education Act of 1965, but was first authorized by the National Defense Education Act of 1958. Its aim is to stimulate and assist in the establishment and maintenance of funds at postsecondary institutions for the purpose of making low-interest loans to students enabling them to pursue their courses of study.

Perkins Loans provide an institution with flexibility in packaging aid awards to best meet the needs of the students. The program is administered by institutions, thus reducing the delays often associated with loans granted by banks or other eligible lenders. In academic year 1991-92, over 3,300 institutions will provide 688,000 borrowers with average loans of approximately $1,250 based on a total lending pool of about $859.8 million. In Wisconsin, using the most recent Department of Education data in Award Year 1988-89 total student borrowers numbered 19,287; colleges in the state lent $25,304,917; and the state average amount lent was $1,312 in the Perkins Loan Program. At the University of Wisconsin-Madison approximately 6,200 students borrowed an estimated $8,000,000 in Perkins Loans during Academic Year 1990-91. I need to note that these funds come from our institution's revolving fund which has not received a penny in Federal Capital Contributions for years. Nationally, approximately 64 percent of loan funds go to students with family incomes of $24,000 or less.

Perkins Loan funds are a combination of federal and institutional capital contributions. The institutional contribution equals one-ninth of the Federal Capital Contribution. Additional capital is generated from collections on prior loans that go into the institution's revolving fund to be relent to other students. Again, the University of Wisconsin-Madison has a fully capitalized Perkins Loan Program.

Funds are allocated to institutions based on their FY-85 allocation. In any year in which the appropriation for Perkins exceeds the FY-85 level, the first 25 percent of the excess funds is allocated as an equal percentage to all institutions. The remaining 75 percent is allocated on the basis of institutional need.

The program provides loan capital from new Federal Capital Contributions and from collections from prior borrowers to students at the following levels: $4,500 in the case of a student who has not completed two years of baccalaureate degree program; $9,000 in the case of an undergraduate student who has completed two years of a baccalaureate degree program; and $18,000 in the case of a graduate or professional student including all prior Perkins loans received.

NASFAA recommends increasing the annual Perkins Loan maximum to $3,000 for all undergraduates with an undergraduate aggregate maximum of $15,000, and increasing the annual graduate maximum to $5,000, with a graduate aggregate maximum of $30,000. The total Perkins Loan aggregate maximum would be $45,000. NASFAA makes this recommendation in conjunction with modifications to the Stafford and SLS program maximums. The recommended aggregate total for the Stafford, SLS, and Perkins loan programs would be $52,000 for undergraduates and $115,000 for graduate students. Further, our suggested amendment allows an institution to establish lower annual and aggregate loan limits for its students in this program. As student financial aid administrators we believe these changes will allow needy students to borrow funds to finance their education at more attractive interest rates and loan terms, than those Part B loan programs fostering access to a postsecondary education. In many cases, increasing the maximum loan amounts will prevent students from being forced to borrow from a second loan program in order to pay their educational expenses in a given year.

The terms and conditions for students receiving Perkins loans are as follows: The current interest rate is 5 percent per year. No interest accrues until the beginning of the repayment period. After a nine-month grace period following cessation of studies, the student begins repayment which normally extends up to ten years. Deferment and cancellation provisions exist for specified employment or service. Students who cannot afford to repay the loan according to schedule because of some type of hardship may request a special deferment to assist in avoiding default. Students who wish to borrow under the program may do so without security and without endorsements, unless they are minors and the signature of a minor is not legally binding under state law. The loan may be repaid at any earlier time without penalty.

With regard to these program conditions, NASFAA makes the following recommendations: We suggest establishment of a 5 percent interest rate during the first four years of repayment at which time the rate would increase to 9 percent. NASFAA recommends this change to encourage more timely repayment while still providing students with a low-interest loan. NASFAA believes that such a modification would help increase the capitalization the Perkins Loan revolving funds, enabling institutions to extend loans to more students. We also suggest establishing a minimum monthly repayment of $50.00. In conjunction with increasing the annual and aggregate loan maximums, NASFAA believes that it is appropriate to expect these minimum repayments from such borrowers to reduce federal costs and to strengthen loan revolving funds.

The current law allows no tolerance for an overaward in the Perkins Loan Program. We recommend permitting a $500 tolerance for Stafford/Perkins/SLS overawards. In keeping with the recommended overaward provision in the College Work-Study Program, NASFAA recommends extension of this necessary management tool to the Stafford, Perkins, and SLS programs.

The Perkins Loan Program provides another avenue of self-help for those financially needy students who, for whatever reason, cannot participate in work-related activities or who need additional self-help beyond work-study. By providing long-term, low-interest loans to financially needy students, this program has offered a system of credit to those individuals who in some cases would have difficulty securing loans from commercial lenders. Institutions using the Perkins Loan Program rather than the higher interest rate Stafford Loan Program can mitigate the fear of borrowing for those who have little family experience with borrowing and/or do not have an established credit history. Further, it is clear that many students, if they borrow, because the grant programs are inadequate to meet their needs, should borrow from the Perkins Loan Program, with more favorable terms, rather than borrowing a Guaranteed Student Loan. Borrowing a Perkins Loan can give students the satisfaction of knowing that they are actively playing a role in financing their education. A Perkins borrower will build self-esteem by knowing the postsecondary institution recognizes him or her as responsible and believes the student will repay the loan after graduation and upon securing a job. Students can establish a good credit history by timely repayment of the loan after graduation. These intangible benefits are an important aspect of the Perkins Loan Program. Also, I note that Perkins Loans are available for financially needy graduate students, although the credit needs of undergraduate students are so large and the program has been so underfunded in this past decade to preclude greater utilization of the program by graduate students.

Another point I wish to make about the Perkins Loan Program is the "risk factor." Risks always can be identified with the extension of credit solely on the basis of financial need. Some students will come from families with no borrowing history at all and to them the concept of $10,000 of educational indebtedness is terribly frightening. Some students may temporarily "stop out" (leave school for a short period of time, but return at a later date), or withdraw completely from school never to return. Other students will go on to graduate and may be underemployed unable to meet minimum daily subsistence requirements let alone repay a student loan. We have become painfully aware of some of the statistics related to the history of repayment represented by these situations.

In 1988-89 the Perkins Loan default rate in Wisconsin was 4.38 percent, and nationally the rate was 6.75 percent. At my own institution, as of July 1, 1990, the default rate was 3.98 percent. Better than 93 percent of the borrowers nationally are currently working to establish a good credit history and the comparable rate in Wisconsin is better than 95 percent and over 96 percent at my school. The average annual Perkins Loan made to students is $1,263 nationally and $1,312 in Wisconsin. This level of lending falls well short of the statutory maximums for undergraduate students. At the University of Wisconsin, we target the student who demonstrates exceptional financial need as the primary candidate for the Perkins Loan so that he or she is not further disadvantaged by surrendering funds borrowed to meet need for origination and guarantee fees associated with the Stafford Loan Program.

One change in the Perkins Loan Program, NASFAA proposes for your consideration is simplifying and reducing the number of deferments. Currently there are nine circumstances that entitle a student to a loan deferment. We believe these could be reduced to three without causing any hardship upon students, while making the program easier to administer and explain to borrowers. The three deferments, we would propose are 1) an in-school deferment for half-time or greater attendance; 2) an unemployment or hardship deferment for up to two years; and 3) a temporary total disability deferment for up to three years. We believe that simplification of the deferment process will help curb "technical defaults." In most instances, these are students who go into default despite their good faith efforts to understand the deferment categories and obtain a deferment.

For an individual whose loan is eligible for cancellation because he or she teaches in a Chapter 1 school, NASFAA advocates extension of a borrower's eligibility for Perkins Loan cancellation for one year after a Chapter 1 school loses that designation. Perkins Loan borrowers who have chosen to serve in designated teaching areas should be able to take advantage of the program's loan cancellation feature and should not automatically lose this advantage because his or her eligible school suddenly becomes ineligible. NASFAA believes this is unfair to the borrower and recommends a one-year transition period so that the student may prepare for repayment or seek employment at another designated Chapter 1 school.

Regarding the entire issue of Perkins Loan cancellation NASFAA suggests, however, a study of the current Perkins Loan cancellation policies to ensure that desired social results are obtained and borrowers' decisions are influenced early in their academic careers.

The Campus-based Programs are integral components of a student's financial aid package. Though it may be lamentable that these programs, through fiscal limitations, are not broadly accessible to all eligible students, hundreds of thousands of students do benefit from the availability of each Campus-based Program. The Supplemental Educational Opportunity Grant Program and the College Work-Study Program are indispensable programs that help to prevent many students from borrowing more than is advisable. The Perkins Loan Program allows students to borrow from a program that is proven to work with less burdensome repayments than the Guaranteed Student Loan Program and with greater simplicity for students and institutions. The major criticism that may be leveled at the operation of these programs is not the fault of the programs. The flaw and criticism of the Campus-based Programs that financial aid administrators would flatly state to you is the underfunding of these programs in this last decade and the instability caused by almost constant attempts to eliminate or reduce the programs. For the Congress and the Administration to appropriate and spend the necessary amounts needed to meet legitimate student financial needs utilizing the Campus-based Programs would be among the most important changes that can be accomplished during this Reauthorization. While I recognize that appropriations are not in the jurisdiction of this Subcommittee, I sincerely request that any changes you make in the Campus-based Programs be made with the view to convince those Representatives who do make the Budget and Appropriations decisions that each of the Campus-based Programs works well and must be funded at levels which will enhance student educational opportunity.

FURTHER CAMPUS-BASED PROGRAM ISSUES AND RELATED QUESTIONS

We wish to address further broad policies regarding the Campus-based Programs and other related student aid questions that have a direct bearing on educational opportunity and program operations.

The current law permits institutions to transfer up to 10% of funds between the SEOG and CWS programs. NASFAA recommends this inter-program transfer authority be amended to allow financial aid administrators the necessary discretion to transfer up to 25% funds among the SEOG, CWS, and Perkins Loan programs to more closely meet institutional and student needs in a particular year. Such a change in the current law's authority would be a valuable management tool.

NASFAA strongly recommends Campus-based funds not de-obligated or used by institutions in a given fiscal year be reallocated to institutions according to the requirements of the Higher Education Act. Currently, such monies revert to the U.S. Treasury and we believe these funds should be available for students. There are many reasons for small amounts not being used. Among those are the difficulty in estimating how much CWS students will earn by the end of a fiscal accounting year, loan funds collected to late to re-lend, and funds are lost when an institution does not reapply for funds or when a school closes. Adoption of this recommendation will allow already appropriated Campus-based funds to be used for student assistance, rather than losing these monies entirely.

As important as the Campus-based Programs are in creating educational opportunities for our citizens, we again reiterate our belief that Congress will best deal with the grant/loan imbalance and access/pipeline issues by facing and solving the underfunding problem in the Pell Grant Program. NASFAA strongly urges the Congress to change the funding structure of the Pell Grant Program by creating an entitlement for students rather than maintaining the current discretionary appropriation system. Since the Pell Grant Program's first authorization in FY 1973, the Appropriations Committees have funded the program at its authorized maximum only three times--most recently in FY 1979. In all other years, the program maximum has been below the policy levels set by the authorizing committees. The Higher Education Act authorizes a Pell Grant maximum award for Academic Year 1991-1992 of $3,100. Federal funding for that year allows for a maximum Pell Grant award of $2,400--a gap of $700 between the authorized amount and the appropriation. We must remember, as we conclude this authorization period with a $2,400 maximum Pell Grant, the appropriated maximum Pell Grant at the beginning of the authorization in Academic Year 1987-88 was $2,100. This is an increase of only $300 in five years which is barely a 14 percent increase. In many years since the last Reauthorization the cost of attendance for college has risen faster than the Consumer Price Index and appropriations for this foundation program have fallen short of what is necessary to provide basic student access to a postsecondary education. This fact has necessitated increased borrowing on the part of needy students and has contributed--we believe significantly--to the default problem.

Further, if we hope to provide all of our citizens with an opportunity to obtain the fullest measure of education that will enable them to participate equally within our society, then it is essential that we restructure the Pell Grant Program to ensure adequate and predictable funding from year to year.

To help ensure this is accomplished, we would propose that the Pell Grant maximum award be funded at $4,400 for the 1992-93 award year, and then automatically indexed to rise at least $200 each year thereafter, but not less than the Consumer Price Index.

Our reason for establishing the maximum award at $4,400 is an attempt to bring it back in line with where it was following the passage of the Middle Income Student Assistance Act of 1978. In the first award year following that Act, the maximum Pell Grant was $1,800. Therefore, had the maximum award been indexed in such a manner at that time, increasing it by a modest $200 per year, we would have a $4,200 maximum award for the upcoming 1991-92 award year as opposed to a $2,400 maximum award, and a $4,400 maximum for the 1992-93 award year. Further, the policy goal of the Pell Grant Program is that it should cover up to 60% of a student's cost-of-attendance. Our projections suggest that the average annual cost at a four-year public college in 1992-93 will be $7,400. Therefore, 60 percent of that cost would be $4,440. Further, we propose legislation which would ensure full funding of the maximum award each year, thereby giving assurance to current and future generations of students that they can count on the Pell Grant Program to be the foundation program that it must be.

NASFAA has offered a need analysis "Plan for Reform" which proposes one method for determining eligibility for all types of federal funds, replacing the two existing methods, and outlines steps to simplify the applications process for many students. NASFAA witness, Natala Hart, recently discussed the "Plan for Reform" before the Subcommittee and I encourage you to review her testimony. We believe it is important to integrate the Pell Grant and the Congressional Methodology which help determine Campus-based Program student eligibility. Our "Plan for Reform" will assist in bringing simplification and equity to the federal student aid programs.

The Campus-based Programs have the advantage of sensitivity in meeting student financing needs and unique circumstances and provide necessary and desireable institutional flexibility in partnership with the federal government. In my view, these programs have been the cornerstone of student financial assistance for over twenty-five years. Their comprehensive approach to meeting need--grant, loan, and work--is as successful today as it was at their inception. These programs have made a difference in the lives of millions of students. NASFAA believes the Campus-based Programs should be there for students of the future.

NASFAA looks forward to working with you to ensure that student and parental financing of a postsecondary education needs are met to pay for college with primary responsibility on the family and student and with secondary, but essential, help from the government in Washington. I would be pleased to answer any questions you may have and thank you for the opportunity to testify.

Chairman **Ford**. Mr. Champagne.

Mr. **Champagne**. Thank you, Chairman Ford, members of the committee.

My name is Rene Champagne, and I am president and chief executive officer of ITT Educational Services, Inc., a wholly-owned subsidiary of ITT Corporation. ITT Educational Services is one of the country's largest private, postsecondary educators, operating 40 ITT technical institutes in 20 States. Almost all of our students attending our schools are pursuing bachelor or associate degree programs in technical fields.

I appear before you today representing not only the interests of ITT technical institutes but also the members of the National Association of Trade and Technical Schools and the Association of Independent Colleges and Schools. The NATTS and AICS campus-based student aid proposal is a part of a comprehensive package intended to reform and simplify the entire student aid system.

We believe the basic principles of the existing system should be retained, but the number of programs should be reduced so that there would only be one Federal guaranteed loan program, one grant program, one work-study program, and a single discretionary campus-based program to provide assistance to students through institutions.

From our perspective, there are four significant problems with the current campus-based programs. First, access to campus-based programs is not universally available to otherwise eligible students, because school allocations use a formula based on the institutions length of participation in the program, thereby denying some needy students from access.

Our second concern is that campus-based program funds are not equally available to students in different States. Attached to my written testimony is a table which reflects the distribution of campus-based funds by State and the amount of assistance available to students enrolled in participating institutions in each State.

Our third concern is that, despite the original intention to provide need-based assistance to students, campus-based programs tend to focus aid on students from higher income families. Once again, I have attached to my written testimony a table which demonstrates that campus-based awards are awarded to dependent students from families with incomes in excess of $30,000 in a surprisingly high percentage of the awards.

Our fourth concern is that the funding of campus-based programs, and thus the average grant size of these programs, has failed to keep pace with inflation over the last decade.

Drawing on the strengths of the current campus-based system, NATTS and AICS propose that Congress reform and simplify the programs by creating a new campus-based student financial aid system titled, the "Perkins Campus-Based Program." The new Perkins Campus-Based Program would be created by reallocating the $1.27 billion in Federal funding that supports the current campus-based system, the $64 million in the SSIG program, and the $860 million in the Perkins Loan revolving funds.

We are recommending that the Perkins Loan program and the SEOG program be eliminated. Funds from those programs, plus the SSIG funds, would be reallocated to institutions based on the number of Pell recipients they had in the prior year. All allocated institutional funds would be pulled into a discretionary fund at the school. The institution would determine the use of these discretionary funds based on the needs of their students.

The need-based awards could be in the form of low-interest loans, grants, or work-study. All aid could not exceed the cost of attendance or the maximum aid eligibility, whichever is less. Institutions would be required to provide a 10 percent match in the first year, 20 percent in the second year, and 30 percent in the third year and beyond.

The creation of this new Perkins Campus-Based Program would greatly enhance the access of eligible students to these funds currently not possible in existing programs. Also, we believe the new Perkins Campus-Based Program will significantly reduce the administrative burden of the current programs on the Department of Education and on participating institutions. My written comments contain a far more detailed description of our recommendations.

As I conclude my remarks, let me say that the decisions regarding the future of all student financial aid programs that lay before this committee are difficult ones, and I commend you for the comprehensive approach that you have taken in reviewing these very important and complex programs. I appreciate the opportunity that you have provided to NATTS, AICS, and myself to participate in this process.

I will be happy to answer any questions that you may have regarding my remarks. Thank you.

[The prepared statement of Rene Champagne follows:]

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Testimony of Rene R. Champagne
President, ITT Educational Services, Inc.

Before the
House Subcommittee on Postsecondary Education
William D. Ford, Chairman

June 26, 1991
Washington, D.C.

Good morning. My name is Rene R. Champagne and I am the President and Chief Executive Officer of ITT Educational Services, Inc., a wholly-owned subsidiary of ITT Corporation. ITT Educational Services is one of the country's largest private postsecondary educators, operating 40 ITT Technical Institutes in 20 states. Almost all of the students attending our schools are pursuing bachelor or associate degree programs in technical fields. Like many private career schools, many of our students rely on access to student financial assistance -- in the form of loans, grants and campus-based funds -- to finance their education.

I appear before you today representing not only the interests of the ITT Technical Institutes, but also the members of the National Association of Trade and Technical Schools (NATTS) and the Association of Independent Colleges and Schools (AICS). Together, NATTS and AICS represent more than 2,000 institutions, educating 1.5 million students in 130 career-specific fields.

The NATTS/AICS campus-based student aid proposal is part of a comprehensive package intended to reform and simplify the entire student aid system. We are calling for one grant program, one loan program and one college work-study program at the Federal level.

Concerns Regarding the Current Campus-Based Programs

From our perspective, there are four significant problems with the current campus-based programs:

1. Access to campus-based aid programs is not universally available to otherwise eligible students because school allocations use a formula based on an institution's historical participation in the program thereby denying some students from access..

   According to the Department of Education, the Supplemental Educational Opportunity Grant (SEOG) program serves the greatest number of institutions, 4,655 which pales in comparison to the 6,700 institutions served by the Pell Grant program. A total of 3,900 institutions participate in the College Work-Study program, and 3,097 in the Perkins loan program.

2. Campus-based program funds are not equally available to students in different states.

   Attached to my written testimony is a Table which reflects the distribution of campus-based funds by state and the amount of assistance available to students enrolled in participating institutions in each state. The complex provisions in the allocation formula have allowed schools in states that participated earlier in the programs to continue to be able to provide more campus-based funds to students than those schools that entered the programs at a later date.

3. Despite the original intention to provide "need-based" assistance to students, campus-based programs tend to focus aid on students from higher income families.

   I have attached a table to my written testimony which demonstrates that campus-based awards are more likely to be awarded to dependent students from families with incomes in excess of $30,000. While we recognize it is vital for middle-income students to have access to student financial assistance, we question if these programs are the most effective way to serve this population.

4. The funding of campus-based programs and thus the average grant size of these programs has failed to keep pace with inflation over the last decade.

Each of the three programs has lost about 18 percent of their 1980 purchasing power. The average Perkins loan amount has declined by $223, College Work-Study award by $242, and Supplemental Educational Opportunity Grant award by $53.

NATTS/AICS Campus-Based Legislative Proposal

Drawing on the strength of the current campus-based system, NATTS and AICS propose that Congress revamp, reform and simplify the programs by creating a new campus-based student financial aid system titled the Perkins Campus-Based program and by enhancing the College Work-Study program.

The new Perkins Campus-Based program would be created by reallocating the $1.27 billion in federal funding that supports the current campus-based system, the $64 million in the SSIG program and the $860 million in the Perkins Loan revolving funds.

We are recommending that the Perkins Loan program and SEOG program be eliminated. Funds from those programs plus the SSIG funds would be reallocated to institutions based on the number of Pell recipients they had in the prior year. All allocated institutional funds would be pooled into a discretionary fund at the school. The institution would determine the use of these discretionary funds based on the needs of their students. The aid awards could be in the form of low-interest loans, grants or work-study. All aid could not exceed the cost of attendance or the maximum aid eligibility, whichever is less. Institutions would be required to provide a 10 percent match in the first year, 20 percent in the second year and 30 percent in the third year and beyond.

The creation of this new Perkins Campus-Based program would greatly enhance the access of eligible students to these funds currently not possible. Also, we believe the new Perkins Campus-Based program will significantly reduce the administrative burdens of the current programs at the Department of Education and at participating institutions.

The decisions regarding the future of all student financial aid programs that lay before this Committee are difficult ones and I commend you for the comprehensive approach that you have taken in reviewing these very important and complex programs. I appreciate the opportunity that you have provided to NATTS/AICS and myself to participate in this process. I will be happy to answer any questions that you may have regarding my remarks.

The proposed programmatic changes are described in detail below:

A. Perkins Campus-Based (PCB) Program

1. Establish a new program that allocates funds to institutions to be used for grants, loans, or work-study. A significant portion of the funding for this program would come from the current campus-based programs plus SSIG.

2. Institutions currently holding Perkins Loan revolving funds would be required to transfer these funds into the Perkins campus-based program.

3. The appropriations level for the Perkins campus-based program will be equal to 4 percent of the Pell Grant program appropriations.

4. The annual institutional allocation would be based on the number of Pell recipients in the prior year.

5. Institutions must provide a 10 percent match of the first year, 20 percent in the second year and 30 percent in the third year and beyond before the institution is permitted to draw down the Perkins campus-based funds.

6. The institution would determine the use of the funds (grant, loan, work-study). All aid could not exceed the cost of attendance or the maximum aid eligibility, whichever is less.

B. College Work-Study (sec.441)

The work-study program is the only Title IV program that can contribute to a student's educational program while providing financial assistance. Many students have successfully used part-time employment as a means of defraying educational costs and gaining valuable employment experience. Studies have shown that participation in work-study programs actually increases student retention.

1. Retain the general structure of the College Work-Study program, but expand institutional participation, including the ability of a student or an institution to choose to participate in this program.

2. Eliminate current conditional guarantees and allocate federal contributions based on cumulative institutional need as reflected by the number and type of Pell Grant recipients.

3. Maintain current institutional matching requirements at 30 percent for on-campus employment and off-campus, non-profit employment, the employer match at 50 percent for off-campus, for-profit employment, and 10 percent for community service-related employment.

4. Reinstate the requirement that any employment offered to a student will, to the maximum extent practicable, complement and reinforce the educational goals of the student's academic program.

5. Permit students, regardless of the type of institution they attend, to participate in off-campus educationally relevant work-study jobs and community service-related activities.

C. Supplemental Educational Opportunity Grants (SEOG)

1. Eliminate the SEOG program and transfer future SEOG funds into the Pell Grant program, the Perkins campus-based discretionary fund and other student assistance programs.

Given that the law currently requires that SEOG recipients be "exceptionally needy," it appears redundant to duplicate the objectives of the Pell Grant program with an institutionally-based grant program. Large economies of scale would result from the elimination of the SEOG program.

D. Perkins Loans

1. Eliminate the Perkins Loan program, retain the corpus of the capital in the revolving funds in the Perkins campus-based program.

Loans made under the existing Perkins program could be delivered through that proposed private capital Stafford Loan program since the Stafford Loan program loan maximums will be modified significantly. These low interest loans, administered by the institution, have served an important role but have long since been eclipsed by the Stafford Loan program. Permit institutions to continue to make low-interest loans under the Perkins Campus-Based program.

Table 1.1

Perkins Loan
Selected Historical Statistics
Fiscal Years 1980 - 1989

Fiscal Year	Loans to Students ($000)	Number of Borrowers	Average Loan (in dollars)	Number of Participating Institutions
1980	$ 693,520	813,372	$ 853	3,330
1981	580,188	684,067	848	3,335
1982	596,839	674,901	884	3,337
1983	682,027	718,588	949	3,338
1984	677,216	697,176	971	3,348
1985	703,000	700,925	1,003	3,342
1986	763,475	715,779	1,067	3,325
1987	805,190	673,549	1,195	3,306
1988(est.)	873,700	692,064	1,262	3,213
1989(proj.)	884,300	826,471	1,070	3,097

Table 1.2

College Work Study
Selected Historical Statistics
Fiscal Years 1980 - 1989

Fiscal Year	Total Funds Earned ($000)	Number of Recipients	Average Amount Earned ($)	Number of Participating Institutions
1980	$ 660,161	819,093	$ 806	3,135
1981	624,000	739,346	844	3,200
1982	614,861	720,097	854	3,300
1983	683,453	771,796	886	3,392
1984	645,052	735,456	877	3,471
1985	656,000	728,398	901	3,557
1986	629,234	689,812	912	3,600
1987	635,073	685,505	926	4,052
1988 (est.)	625,400	672,692	931	3,956
1989 (proj.)	780,300	835,000	935	3,901

Table 1.3

SEOG
Selected Historical Statistics
Fiscal Years 1980 - 1989

Fiscal Year	Expenditures ($000)	Number of Recipients	Average Loan (in dollars)	Number of Participating Institutions
1980	$ 367,817	716,522	$ 513	3,723
1981	361,523	658,893	549	3,750
1982	342,664	640,650	535	4,200
1983	360,997	648,582	557	4,224
1984	373,647	652,014	573	4,319
1985	410,000	685,961	598	4,445
1986	399,539	631,226	633	4,536
1987	418,827	635,326	659	4,616
1988 (est.)	422,500	678,847	621	4,675
1989 (proj.)	442,400	633,000	700	4,655

Table 1.4

Perkins, College Work Study and SEOG Allocations by State Fiscal Year 1989

State	Perkins	CWS	SEOG	Total	Per Student	+/- Ave.
Alabama	$2,359,732	$11,745,748	$6,709,908	$20,815,388	$104.17	+
Alaska	82,753	461,056	394,301	938,110	33.08	-
Arizona	2,416,827	6,919,696	5,852,004	15,188,527	58.92	-
Arkansas	1,477,440	6,251,127	2,930,718	10,659,285	126.07	+
California	19,712,410	53,094,603	42,418,242	115,225,255	65.71	-
Colorado	2,778,629	7,323,475	5,494,439	15,596,543	83.72	-
Connecticut	2,080,732	6,955,924	5,859,213	14,895,869	89.91	-
Delaware	373,536	1,334,066	1,028,590	2,736,192	71.52	-
District of Columbia	1,491,244	4,788,586	3,151,697	9,431,527	119.25	+
Florida	4,913,098	18,386,795	13,228,013	36,527,906	70.85	-
Georgia	2,624,422	12,202,304	6,982,662	21,809,388	94.51	+
Hawaii	499,702	1,908,658	1,323,907	3,732,267	71.37	-
Idaho	778,933	1,898,494	1,358,504	4,035,931	88.28	-
Illinois	7,938,446	24,284,784	19,045,993	51,269,223	74.41	-
Indiana	4,546,764	11,194,104	8,783,035	24,523,903	91.54	-
Iowa	3,466,257	8,162,805	6,191,640	17,820,702	110.57	+
Kansas	2,276,914	5,897,240	4,311,925	12,486,079	81.69	-
Kentucky	2,535,748	9,362,665	4,528,810	16,427,223	102.75	+
Louisiana	2,986,926	11,349,449	5,590,521	19,926,896	113.20	+
Maine	1,541,006	6,636,706	5,882,605	14,060,317	293.52	+
Maryland	2,791,681	9,154,760	6,819,999	18,766,440	75.34	-
Massachusetts	7,813,910	34,453,078	23,223,517	65,490,505	153.51	+
Michigan	7,656,391	19,455,527	16,184,451	43,296,369	79.80	-
Minnesota	3,672,611	13,745,754	11,234,265	28,652,630	117.09	+
Mississippi	2,329,112	9,643,429	5,631,921	17,604,462	155.97	+
Missouri	4,295,020	12,327,887	7,792,039	24,414,946	93.31	+

Table 1.4

Perkins, College Work Study and SEOG
Allocations by State
Fiscal Year 1989

State	Perkins	CWS	SEOG	Total	Per Student	+/- Ave.
Montana	847,672	2,671,841	1,140,554	4,660,067	130.27	+
Nebraska	1,843,166	4,017,951	2,857,572	8,718,689	83.34	-
Nevada	298,096	1,000,220	663,024	1,961,340	40.17	-
New Hampshire	1,425,895	4,954,321	3,714,501	10,094,717	182.43	+
New Jersey	3,898,549	12,756,076	9,458,012	26,112,637	86.28	-
New Mexico	760,946	5,367,982	2,780,642	8,909,570	112.14	+
New York	14,696,817	51,461,130	35,838,446	101,996,393	101.25	+
North Carolina	4,352,300	14,878,097	10,172,681	29,403,078	88.42	-
North Dakota	782,610	2,659,147	2,364,243	5,806,000	151.62	+
Ohio	7,087,893	23,797,500	16,955,390	47,840,783	88.31	-
Oklahoma	2,741,265	7,422,411	4,810,850	14,974,526	84.93	-
Oregon	3,233,696	9,854,119	8,341,275	21,429,090	137.23	+
Pennsylvania	9,296,764	31,790,982	25,945,249	67,032,995	116.80	+
Puerto Rico	2,427,767	13,847,060	7,238,332	23,513,159	151.95	+
Rhode Island	1,386,962	4,986,370	4,171,430	10,544,762	140.90	+
South Carolina	1,771,751	8,868,446	5,299,136	15,939,333	107.88	+
South Dakota	955,621	3,642,474	2,512,551	7,110,646	226.02	+
Tennessee	2,950,045	10,780,537	7,220,902	20,951,484	101.51	+
Texas	9,789,194	33,423,643	21,211,720	64,424,557	76.04	-
Utah	2,083,454	3,504,260	2,554,122	8,141,836	75.71	-
Vermont	1,055,113	4,602,049	4,218,896	9,876,058	286.54	+
Virginia	3,471,906	12,081,688	8,093,779	23,647,373	73.62	-
Washington	3,641,691	11,808,858	10,266,179	25,716,728	101.61	+
West Virginia	1,509,916	5,237,521	3,138,535	9,885,972	122.99	+
Wisconsin	4,879,427	13,124,103	13,356,414	31,359,944	109.95	+
Wyoming	370,734	708,891	609,818	1,689,443	63.66	-
Guam	0	468,132	49,432	517,564	135.52	+
Misc Pacific Islands	0	288,188	31,014	319,202	132.34	+
Virgin Islands	284	54,632	32,064	86,980	35.20	-
Total	$182,999,778	$608,997,349	$436,999,682	$1,228,996,809	Ave $93.06	

Table 2

Distribution of Campus-Based Program Awards by Income

% of total amount by income

Income (undergraduate dependent)	Perkins	CWS	SEOG	Total
$0- 5,999	5.5%	8.9%	8.7%	7.4%
6,000 -11,999	6.8	9.9	10.7	8.8
12,000-17,999	9.2	10.8	13.1	10.6
18,000-23,999	9.9	10.3	12.8	10.7
24,000-29,999	8.9	8.9	10.2	9.2
over 30,000	16.2	15.7	12.3	15.2
Independent undergraduate	26.2%	26.9%	32.3%	27.8%
Graduate	17.3%	8.6%	---*	
Total	100.0%	100.0%	100.1%	100.0%
Dollars awarded ($ millions)	$844.0	$780.0	$442.0	$2,066

(May not total 100 percent of rounding).

*Graduate students are not eligible.

Testimony of Rene Champagne
ITT Educational Services, Inc. - NATTS/AICS

Chairman **Ford**. Before I start with the questions, I would like the record to show, once again, Mr. Farrell, I'm getting to feel like a forgotten pen pal here. On April 25, I wrote to the Secretary, told him that we would soon be considering undertaking a complete review of the student aid programs as a part of reauthorization, and particularly the campus-based programs.

I referred to his testimony before the Senate committee which alerted us that somebody had done some work on it. I assured him that I accepted that there must be a significant amount of high quality analytic work that had been done by the Department on direct loan options in proposals, because of his testimony over there, and asked him to share that with us. Now, that's April 25.

I was told by his assistant, Mr. Danzansky, last week, after I was with the Secretary—I think it was Thursday morning—as he was leaving town, his instructions to Mr. Danzansky were, "Call the Chairman and tell him we are going to answer his letter." So would you tell Mr. Danzansky this is another letter that he and I didn't talk about that I don't have an answer to; otherwise, I would be asking this panel some very direct questions about what is going on with the direct student loan program.

Mr. Champagne, ITT, tell me what it is.

Mr. **Champagne**. ITT is a corporation, a multinational corporation, of about $21 billion in size, worldwide in nature, made up of many different types of business, ranging from communications to defense, services businesses like the Hartford Insurance Company, the Sheraton Hotels, and, of course, my unit, which deals with education.

We are the only Fortune 500 corporation in the United States actively involved in running schools, trying to make a difference to the educational format that we have in this country.

Chairman **Ford**. Well, we frequently hear, sometimes even from people in the Department, the description "fly-by-night" proprietary schools. I suppose the board of directors of ITT would take it as something of a slight, if they even noticed it, if they heard that somebody here was calling them fly-by-night. You are the ITT; right?

Mr. **Champagne**. That's correct.

Chairman **Ford**. The biggest gorilla on the block in many businesses, aren't you?

Mr. **Champagne**. Yes, sir.

Chairman **Ford**. Now, how do you react to the suggestion from the administration that your schools should not have access to College Work-Study, that "you act better when you are using your own money."

Mr. **Champagne**. I think that is a very unfortunate proposal on the part of the administration, because it would penalize students, and not necessarily ITT. I see no reason for distinguishing the type of student based on the type of institution they choose to attend.

As a matter of fact, I look at it quite the opposite way. We provide a substantial amount of money in the form of taxes that my company pays every year. My own personal company runs schools. We pay taxes every single year. It seems to me, if we don't have the opportunity for our students to have access to funds that are supported by taxes, then we are somehow not getting the representation for the money that we are in fact paying.

I think it is discriminatory and somewhat elitist to segregate students out by attending tax-paying schools rather than non-tax-paying schools

Chairman Ford. One of the things that I suggested earlier in the year when I sought to get the attention of the education community, was the possibility of converting the contribution by the Federal Government to the direct student loan program into increased Pell Grants.

Are any of you prepared to react to such a proposal? In looking around to find out how do you increase grant money, it wouldn't do much good if we took SEOG money and put it into Pell. We would just be mixing it around. But when we look at the borrowing by the lowest income of all of the students, at least statistically, if our problem really is that we shouldn't be lending so much money to poor kids, we ought to be giving them more grant money, why not take the capital out of the direct student loan program and turn it into grants?

Mr. Mertz. Mr. Chairman, if I may respectfully, maybe if not disagree make on a nuance on it.

Chairman Ford. I want you to respond. I'm not asking you to agree. It's not my idea.

Mr. Mertz. I would disagree. I would disagree with the concept of doing away with the Perkins contribution and converting it into higher dollars in the Pell program. I think that what we have the ability to do, with the Perkins, with NDSL, what we have the ability to do is to target borrowing to have it at a cost-effective rate, at lower dollars and control the package much more through the campus-based design of a package, and that we can affect more students than we could if we merely throw it into a larger Pell Grant.

Chairman Ford. While you are thinking about that question, think about the second question raised by Mr. Champagne that a quick glance at the distribution of campus-based money would indicate that, on the face of it, it doesn't make any rational sense as a decent or fair or equitable distribution of funds across the country.

I think that I know why we are in that position, but I would like to hear from people there that react. What relevance does that have?

Ms. Norsetter. I'd like to comment on that, Mr. Chairman. The funds that are going to the institutions that are receiving in the campus-based program are spending them on needy students. I think of my own institution where there are many, many more students who could use the campus-based programs that we administer, despite the fact that we have among the largest campus-based programs in the country.

So long as needy students are being served by this program, the distribution issue, I think, is far more an underfunding problem; that, if there were sufficient funds in the campus-based program, students across the Nation would be served.

Chairman Ford. Anybody else want to respond?

Mr. Champagne. Yes, if I may. I would add that it seems to me, if the campus-based programs are truly going to be aimed at needy students, then a complete reformation of the distribution pattern has to be effected, because, quite frankly, it is not there now.

How can we possibly tell ourselves that dependent students, coming from families with incomes over $30,000, ought to be getting significant percentages of these campus-based programs, if in fact they are intended to go to exceptionally needy students? It doesn't seem to me though middle income people are indeed squeezed. It seems to me, even though most of my students in my schools are middle income, by the way, it seems to me that isn't really meeting the test of need the way it is intended to.

Now, if we choose to change that definition of need, perhaps we ought to look at that. But it seems to me there are other ways of accomplishing——

Chairman **Ford**. You do understand that heretofore, unless we are prepared to make a quite radical change, this money is not distributed on the basis of individual students or the characteristics of those students.

Mr. **Champagne**. I agree.

Chairman **Ford**. It is based upon the activity of institutions. And from the beginning until 1985, the amount of money that went to an institution depended on how much work the institution was willing to put in in getting a grant.

In 1985, we froze the ball game a little bit and said, "We'll protect all of you with what you've already got coming to you, because of good grantsmanship, with a grandfather clause, but hereafter there will be a formula, a one-fourth, three-fourths formula. Three-fourths of the weight to be given to where the money goes is based on relative need of the students in attendance at that institution and at all other institutions across the country."

So the idea of any kind of formula distribution is relatively new. We may have to change that formula, if it is still producing a lopsided situation.

Not the least embarrassing of your chart is to show me that Michigan—where I got more press than I wanted 2 weeks ago, by accusing the people of my State to be cheapskates when it came to financing public education. Unfortunately, a young lady writing her very first education article for the Detroit Free Press missed the fact that I said that during a conversation with the president of the University of Michigan, who was pointing out to me that the tuition at the University of Michigan provided more money to run the school than the State of Michigan did, and that the Federal aid that we give the University of Michigan, both through student aid and research money, exceeds the amount of money that the taxpayers of Michigan are paying to run it.

He has been heard to observe that he now is operating the largest private university in the country. That is how a private university is supposed to do it. In that context, I said, "Gee, we here in Michigan are real cheapskates when it comes to financing higher education." That had to be too good a line to pass up and made the front page of the Free Press. I am getting lots of my Christmas cards early, suggesting what I ought to do with my big mouth that called them cheapskates, that, after all, we're paying too much taxes.

I don't want them to see this chart and see that the average for campus-based programs around the country is $93, but it is only $70-something in Michigan. That the Chairman can't even get the national average into his State could be embarrassing. So I will try to make sure that newspaper people who write about this phenomena will not print your chart uncritically, because there is an explanation for that.

You look at a State like Massachusetts, they must have the champion grant writers in the world. And then you look at the Virgin Islands, and what do they get? Thirty-five dollars, because they weren't in the game early. They have only been in the game a very short time. There are a lot of factors that explain the apparent discrepancies in the chart.

Alicia, I fully understand, because it is not the first time that we have heard it, your suggestion that Work-Study ought to be retailored so that it is targeted, if not exclusively, almost exclusively to curricular-related employment.

I would like you and the other people in your organization to do a term paper for us. I want you to take a look at the coop program that it is in law. We provide about $18 million a year, not to students, but to institutions, in which we provide that money for the very purpose of getting the institutions to find curricular-related jobs for their students. That has a different purpose than Work-Study, which is purely to put dollars in your jeans to pay your bills, to eat.

I want you to look at those two programs and give us your recommendation on how consistent we would be, or inconsistent, if you prefer to take that view of it, if we continue to support one program that encourages institutions to do curricular-based job searching and another program that gives money to institutions to put people to work just working.

Also, I would like you to respond to what Ms. Norsetter said about a job that may not appear to be curricular-related, such as, I guess, being a cashier in a bookstore, at least it teaches you how to make change, and not everybody who goes to college knows how to make change. I don't know what you can do in life without learning something, good or bad, and I'm not so sure that we want to forget what Work-Study is for.

Work-Study was not intended to make nice careers for people or even make pleasant jobs for people. It was just to find a way to get some money, coupled with some institutional money, into the pocket of students, and not big money, but helpful money.

The schools that seem to work the hardest at finding work-study are the schools that have very high populations of low-income children. The community colleges in the South regard this as a tremendous program, because it also becomes a subsidy to them to get their maintenance done, and run their bookstores, and do the other things.

I would like you to look at those two programs and what they are each intended to do, and, from the student's perspective, tell us if we should continue going in these two directions, abandon one or the other, or combine them in some way. You don't have to do that today, but I would like to have that from you.

Dr. Mertz.

Mr. **Mertz**. Mr. Chairman, as Alicia begins her study, maybe I can add to her agenda. I think that some of the studies have shown that there is another effect, in addition to putting dollars into persons' jeans, and that is that you do achieve a more effective retention rate by providing jobs for students on campus.

We have found, particularly with low-income students, the jobs that we provide in the summer before an individual comes on campus after acceptance and registration have provided something that is greater than any orientation program we ever could provide. I think there have been studies that transcend the anecdotal that show that there are other effects that come from Work-Study in addition to providing dollars.

And there is also a sense of commitment.

Chairman **Ford**. If you are volunteering your 14 organizations to be resource people for the National Student Association, I will, on their behalf, accept.

Mr. **Mertz**. And, on their behalf, I make that voluntary——

Chairman **Ford**. Alicia, go get them.

Mr. Gunderson.

Mr. **Gunderson**. Thank you, Mr. Chairman.

Actually, I appreciate the length of the Chairman's questions, because it has given me time to review all your statements so I can pursue this with, hopefully, a little bit better perspective.

The first question is a general one, and I am struck as I go through the statements—and I appreciate the encouragement for increased funding for these campus-based programs—but I was struck in particular by your statement, President Mertz, because you conclude, on page 6 of your testimony, by saying, "In Kim's case, the university attempted to sustain her level of grant support despite a significant loss of funds from the Pell program."

Yet, at the beginning of your statement, you criticize the administration for putting more money into Pell at the expense of other programs. That's exactly the Catch 22 we're all in. You are in; we are in. We have to decide, policy-wise here, where do we want to go?

We've got X amount of dollars for higher ed, and I think, based on the Labor-HHS appropriation, it's going to be more than last year, but I don't think there is anybody in this room who would suggest that it's sufficient to meet all of our needs. So we've got to answer that basic difficult question of how much do we increase the Pell Grant, and at what expense do we do that to other programs such as campus-based?

I would like some clarification.

Mr. **Mertz**. I found that, while you may have created what would have been an apparent dichotomy, the present program allows for the response. A program which would increase the dollars in Pell but make 400,000 fewer awards is not going to allow us to respond to the Kims of this world.

In other words, I can live with, we in higher education can live with those changes, though we would like to see more funding, but we know there can't be at a given time. But what you have provided is a mechanism wherein we can fine tune that drop in, let's say, Kim's aid from $2,300 to $630. Kim didn't get hurt. And what we are recognizing here is that the only program is not Pell, and we cannot work on the premise that Pell is the only program for financial aid in this country.

Mr. **Gunderson**. Are you suggesting—I am going to come to you in just a second—are you suggesting that we ought to increase the total appropriation for Pell, but we ought not raise the maximum amount of the grant, that we help more people?

Mr. **Mertz**. No, I didn't say that at all. I said you should not do away with SEOG.

Mr. **Gunderson**. Oh, I understand that. But as you suggest, SEOG is now Pell driven. And Ms. Norsetter, you indicate in your statement that we ought to quit that Pell-driven SEOG criteria. So do you want to expand on that?

Ms. **Norsetter**. I want to comment on that, but first if I could give you my view of the example that Dr. Mertz provided was that what he demonstrated was the importance of the flexibility that the SEOG program provides for campus administrators.

It was the Pell-driven formula that caused this student's Pell Grant to drop from one year to the next because of her earnings in the prior year. What was good about it is that it demonstrated the fact that the SEOG program, which is there for the campuses to determine, in a flexible fashion, how to help students, that program was there to make up the difference when that Pell dropped.

What we have to be careful about is not to take away the capability of the local financial aid administrator to respond to unique and individual circumstances. SEOG provides that capability. Pell, with its formula-driven, centrally-managed features does not, despite the fact that it is the foundation of the aid programs.

Mr. **Gunderson**. I am a strong supporter of the concept of campus-based. Every time I meet with you financial aid administrators I am told about how you do not have the ability to respond to unique situations that have fallen through the cracks.

I am struck, however, that when I sit here and look at the details of Work-Study, which I, frankly, am in favor of but I think has lost an aggressive constituency out there over the past few years, when I look at the criteria for SEOG or Perkins, I really wonder if we shouldn't truly develop a financial aid block grant to institutions, if we could resolve the formula concept of this.

I am not sure there is merit in three different programs. We ought to give you the money. We ought to require you to match whatever you do, and we ought to take it from there. Does that make sense, or no?

Ms. **Norsetter**. I, for one, prefer the unique features of each of the three, and I think that is important to maintain. And I fear that there would be a loss in the students served if it was collapsed into a block grant. I like the unique features that each of those represent, and I think they are important to us.

Mr. **Gunderson**. The one frustration I have in this whole higher education reauthorization is the colleges of America have become the ardent traditionalists of all time. They don't want to change anything. I mean, why don't you all get radical and really come up with some new, diverse ways in which we can maximize our bang for the buck, in terms of dollars to assisting students? Wouldn't that be fun and creative?

Ms. **Norsetter**. I'm a sixties kid.

Mr. **Gunderson**. So am I.

Ms. **Norsetter**. I am in a profession that enables me to help students and make a difference, and I have been doing it effectively for 23 years. I like the job I've been doing. I like what I've been accomplishing, and I want to keep doing it. I think that the programs that we have enable us to do that.

Mr. **Gunderson**. All right. Let's move on.

[Laughter.]

Mr. **Gunderson**. You are a traditionalist; I hate to say it.

Let's move on to the issue——

Ms. **Ybarra**. May I say something?

Mr. **Gunderson**. Sure. Go ahead, Alicia.

Ms. **Ybarra**. I just also wanted to say that I know it does sound traditionalist, but it is a relief, when you go to your financial aid counselor, and that person has the flexibility and latitude to channel aid to you because of the unique features of each of those three programs. And if we want to get radical, we could make programs of entitlement.

Mr. **Gunderson**. Well, no. That's an issue we can talk about, but if you think it's great to have three programs, wouldn't it be even better if you had seven, because your student financial aid administrator had convinced your State legislature to provide some additional funding, and you had created a business education partnership on another program, and, all of a sudden, rather than these three programs, there were seven different options that you and your financial aid administrator could utilize to deal with your unique needs.

I mean, isn't that better than these three? There has to be some merit in diversity.

Ms. **Ybarra**. There has to be what?

Mr. **Gunderson**. Some merit in diversity of options.

Mr. **Champagne**. Congressman.

Mr. **Gunderson**. Yes.

Mr. **Champagne**. In essence, what you are recommending, and your statement is, is what I gave in my testimony. In effect, what NATTS and AICS is saying is, take the three programs, literally combine them into one discretionary fund, and allow the institution to determine how that money ought to be awarded, either in low-interest loans, or in grants, or in College Work-Study, whatever happens to meet the needs of the students in the best way.

So, in effect, we have disbanded the traditionalist argument you have been hearing, and we have come up with a radical approach that disbands all three and creates this new discretionary fund.

Mr. **Gunderson**. I had not completed it through your testimony, but I appreciate that very much.

What I want to ask each of you—those of you who sit in this room day in and day out know that I have one particular constituency I think we have to respond to this time, that is the nontraditional student—what recommendations do you make regarding the campus-based programs which will maximize our ability to serve the nontraditional student?

Ms. **Norsetter**. If I may speak to that, the campus-based programs, we recommend that they continue to be available to less than half-time students, which is a group of people, the majority of which are nontraditional students. And I think by having those programs available to assist those students goes a long way to addressing the needs of nontraditional students.

Mr. **Champagne**. If I may address that, once again, in our proposal from NATTS and AICS, we attack that particular issue head on. In fact, campus-based programs, as they are currently allocated to institutions do not address the needs of nontraditional students.

In fact, institutions that educate nontraditional students don't often have access to the very funds that are required on the campus-based programs. And we are suggesting that the entire allocation system be rethought so that the money in fact can be funded to those institutions truly serving nontraditional students and not the more traditional kind of student that the programs currently are being award based around at the moment.

So I think, if our proposal were to be adopted, you would see a shift away from the traditional universities and colleges that are using the money and back into the colleges, universities, and private career schools that are in fact dealing with the nontraditional student that you speak of.

Mr. **Mertz**. Mr. Gunderson.

Mr. **Gunderson**. Yes.

Mr. **Mertz**. I'm not a product of the sixties; I predate that. Maybe what was nontraditional to someone of my vintage is radically different than what is nontraditional today. But I think the kind of student we are seeing, the fact that maybe in my university over 40 percent of the entering freshman class in nonwhite, where all are coming from families where nobody had a college degree, where most of those families are single-parent, these are, in a very real sense, nontraditional.

I think that the nontraditional student transcends merely the student who is attending X number of credits. It is the background, what it took to get that student there, and what it takes to keep that student in school. I think that by a combination of programs—see, I think what we are talking about is a mosaic. We are not talking about one picture that highlights the room but a series of programs that, blended together, allow us to do.

I can take students that no community college in New Jersey will take and in 6 years have them out with a baccalaureate degree, students who had 200 board scores, because we are applying nontraditional approaches to those students. So I am not, for one, turned on by the phrase unless it needs explanation.

Give us the appropriate funding and the flexibility, and we will be accountable and achieve the goals. These programs are working. Increased funding will allow them to work better. Acknowledgement of the responsible leadership on the campus will allow us to be creative as we approach students. We need not abandon what has worked.

Mr. **Gunderson**. I'm not sure that flexibility and creativity are maximized under the present programs. I'd like to give you a little more creativity and a little bit more flexibility and would like to suggest to you—and I think you agree with me, based on your description of the six-year student, that that minority, single-parent head of household student is not about to be taking a full-time credit load, and we need to respond to that individual's needs in a very different way than we do under the present student financial aid programs.

Mr. **Mertz**. Absolutely.

Mr. **Gunderson**. Thank you.

Thank you, Mr. Chairman.

Chairman **Ford**. Mr. Sawyer.

Mr. **Sawyer**. You sound like you're talking about my college career. My entire time, from 1963 through 1971, was engaged in putting together a variety of different kinds of financial support mechanisms, starting with my father for my first year of college and relying totally on myself and the assistance that I could get through my university, through the next 7 or 8 years.

The whole range of demands that Mr. Gunderson has been talking about has really been multiplied in the course of the last 20 years. The numbers of students that we need to educate, the range of backgrounds from which they come, the options that they have in meeting their personal needs and in fueling the economic fires of communities and whole regions are as diverse as the Nation itself.

In my case, I began at a municipal college of 7,500, which, in the course of the last 25 years, has become a State university of 31,000, and in a community in which one out of seven people in the course of any given week is a student at some level at that university.

That creates a community of nearly a quarter of a million with a very high percentage of people who are taking advantage of an extraordinary education opportunity. The average age for these students is approaching 30. The full range of educational opportunity, from community college through a wide range of doctoral programs, reflects an industrial Midwest community in transition, from heavy manufacturing to command and control and research and development, and all the things that go with it, and really make that university a core of the economic fires of Akron, Ohio.

In that sense, I fully appreciate the need for flexibility.

There are inevitably more students of need than the dollars that we have available can serve. So without that targeted flexibility—emphasis perhaps on "target"—then the needs of those students might well not have been served.

I say that only because on the two ends of the table I hear an argument, and I think is enormously important, about that ability to give the fullest range of consideration to what the individual needs of the students at that university might be.

I am struck by some similarity—if I could find it again—well, in which, Mr. Farrell, you suggested that what you really wanted to do was to lessen the administrative burden on the universities. "Lessens the—" yes, here it is. "A number of our reauthorization proposals for the campus-based programs are intended to lessen institutions' administrative burden associated with campus level management of these programs."

Mr. Champagne, you said almost the same thing. "We believe the new Perkins Campus-Based Program," as you describe, "will significantly reduce the administrative burdens of the current programs at the Department of Education and participating institutions."

I hear everybody in the middle of the table saying, "Please don't eliminate our burdens quite as much as you propose to." Yet, on the outside of the table you say, "We just want to give you more flexibility." And at the inside of the table you say, "We love that flexibility, but let's not overdo it."

Mr. **Mertz**. You know, you ease my burden when you give me less money.

Mr. **Sawyer**. Yes.

Mr. **Mertz**. That kind of easing I don't want.

Mr. **Sawyer**. Well, let me just conclude by saying, what I am really trying to do is to provoke a focused conversation, for the next few minutes, on precisely that topic.

Go ahead, Dr. Mertz.

Mr. **Mertz**. No, I just—I think what the Chairman was calling for was part of the study that outlined what this quote, unquote, administrative burden was that has been prominent. But I think that we aren't complaining that much about the burden. We can administer the programs. Sure, we would like things cleaned up. But I think the trade-off—and I think that's what we are weighing—we're weighing trade-offs on simplicity, administrative ease, and we're willing to accept that for the attempt to try to make what we're doing more artful through the way in which we administer the program.

I think those are values, and I would err for the burden of administration to have the opportunity to package a Kim rather than have a formula grant do it for me, or not do it.

Mr. **Sawyer**. Ms. Norsetter.

Ms. **Norsetter**. If I could comment, in this instance, I wouldn't describe the flexibility of the campus-based programs as administrative burden at all. I would describe it as providing me the capability to do my job. It's my job to be helpful, and those programs enable me to do that.

There are lots of other areas where we do have administrative burden, because the things that we are asked to do have seemingly no relationship to students. This is an example where we can be helpful. It's extremely important that we have this capability. And, again, it's not an administrative burden; it's me doing my job.

Mr. **Sawyer**. Others? Mr. Farrell.

Mr. **Farrell**. Our simplification proposals tend to fall in areas such as the single need analysis formula, which I think most of the education family seems to be in favor of. If I look at our student aid program as it exists today, it is a very diverse one that provides a variety of mechanisms to deliver aid to the student, who is the focus of this program and is what the program is all about.

Our proposal this year is one that I think you have—as you suggested, periodically you look at programs and you review them, and perhaps you adjust some of the ways that you manage them and the way you deliver the services.

That simply is what the administration's proposal is doing this time. We're recognizing a tight budget discipline. We're recognizing that we think that Pell Grants provide an effective method for delivering very valuable aid to the most disadvantaged students. So we've called for a significant increase in Pell Grants and, as a matter of fact, in the overall Federal commitment to student aid, when all parts of the program are considered.

Within that framework of the total student aid program, which we're talking about increasing, we're providing a major shift toward Pell Grants, and we're asking the institutions, the colleges and the universities, to step in and direct more of their resources to the campus-based programs, a 50/50 share, so to speak.

I recognize that colleges and universities have budget problems, but so does the Federal Government, and so do State governments. We all have budget disciplines to be mindful of, and I think all we're trying to do is, within all of that framework of tight budgets, figure out the best way to deliver the most to the students. Our proposal is aimed that way, and this provides a framework for everybody to discuss how this next reauthorization will structure the student aid programs.

Mr. **Champagne**. Congressman, if I may make a remark on your question, it seems to us that, when you have three separate Federal programs, each carries its own bureaucracy by the very nature of the fact that they're run independently. By creating a discretionary fund, combining the monies from all three, such that an institution can then reallocate the awards out as required by the needy students, we begin to simplify the administration of those particular programs.

Each one of them is very useful, very desirable, and very necessary. The unfortunate thing is, there aren't enough dollars to go around for all of the students who require the funds. By pooling them into one discretionary fund controlled by the institution, it seems to me that the school then can begin to apply the money in the most effective way and perhaps serve more students than they could by applying three individual programs.

Mr. **Sawyer**. That, however, is not the same thing as we're hearing from the other end of the table.

Mr. **Champagne**. Oh, I agree.

Mr. **Sawyer**. There is always a tension, I don't care what level of government it is, when one party says, "Send more money; send fewer strings." It is a goal devoutly to be desired by those on the receiving end and something to be concerned about by those on the sending end, no matter what level that may be.

Mr. **Mertz**. Accountability is one thing. I think we have that responsibility, and we never want to yield that, nor you should ever let us yield that. But I think you hit something before when you talked about target.

Mr. **Sawyer**. Yes.

Mr. **Mertz**. I think that discretionary fund is not appealing to a funder. I think targeting allows for accountability. And I think, if you look at some of the programs that we had, particularly, let's say, maternal and child health, where we went to block funding, it loses its attractiveness to the funder.

So I would argue that, yes, we have bureaucracy, but, again, I have purpose and function. And as I fulfill that and show you how I am achieving the goals and purpose of that program, you are more likely to fund me, rather than saying, "I spent this discretionary money." I think, in the long run, in driving the program, in fulfilling national goals and providing for accountability, that targeted yet flexible programs are the way to go.

Mr. **Sawyer**. Let me just say in conclusion, Mr. Chairman, that I am not sure that in meeting, to the fullest degree possible, the needs of those who are most needy that we serve the broadest goals of an entire population whose needs for educational services reflect that of an entire society.

It is a balance to be struck, but the real concern is that need so overwhelms the broader goals of educational purpose that we're not able to meet them. Simply sending dollars without requirements leaves institutions in an extraordinarily difficult position of serving a very narrow spectrum of the community that is their clientele.

Thank you, Mr. Chairman.

Chairman **Ford**. Keep in mind, what we have here is an apparent disagreement at the table. I would like to observe that most of the administration's education proposals this year call for more Federal direction rather than less, even Federal direction of local funds, setting up new kinds of schools, doing all sorts of things, setting up new kinds of governors' panels, and so on.

Then, on the other hand, we are hearing a very familiar, to some of us, refrain about block-granting funds.

Mr. Champagne, do you know what happens to every group of programs that this committee block grants? They disappear. That has been a budgeting gimmick around this place for years as a way to cut down on the appropriations. There will not be money being appropriated in an amount equal to the sum of the parts; there will be an amount of money which you will have to divide and presumably take care of. The result is that on every campus you would have people making a different decision about what the important national goal was.

The administration hasn't convinced me yet, but they have me thinking about their approach of national goals. You can't have national goals and no-strings-attached pots of money going out there at the same time.

So I would like you to think about this as we go through the rest of the day. I think Mr. Mertz put his finger on it when he said funders don't like to fund something if they don't know where it is going. We have already had experience with that.

We are considering, for example, reinventing the wheel to get back to something that block-granting took out during the Nixon Administration. High school counselors disappeared after we block granted them in with everybody else. And now everybody is coming in and telling us, "One of the problems we have is that students are not informed early enough about these programs, because there aren't enough counselors who are well enough trained to do it."

We are going to go back and reinvent something that we put in in the sixties, block granted in the seventies, and saw it disappear without us even knowing it was happening. So not everybody is anxious to embrace that concept again. As a businessman, it may appeal to you that simplistically you would say, you take three bureaucracies and turn them into one.

I'd like to put your mind at ease by telling you that it's now apparent—and the present occupants of the seats like Mr. Farrell's in the Department will not quarrel with this—that for 10 years you might as well not have had any bureaucracy, because they haven't done a thing to run these programs. Very frankly, they just haven't been doing their jobs. And we have a promise from the new people that they are going to do their jobs and that it's going to be different.

But this is certainly an area where no one should quarrel about interference from the bureaucracy, because the bureaucracy has, maybe intentionally or unintentionally, adopted a policy of benign neglect a long time ago, and that's the way we've been running them.

Mr. Klug.

Mr. KLUG. Thank you, Mr. Chairman.

I want to follow up on something in Ms. Norsetter's testimony about the proposal to increase loan rates from 5 to 9 percent as a way to recapitalize the fund. And walk me through this since I'm not an expert on this.

At the University of Wisconsin, for instance, have you received new Federal funds for the capital pool for Perkins in recent years?

Ms. NORSETTER. Not a nickel.

Mr. KLUG. What were the levels, and when did they cut off, if you will?

Ms. NORSETTER. I'd have to get back to you on that. I don't recall. It has been some time that we have been functioning, fully functioning, on a revolving account.

Mr. KLUG. Dr. Mertz, is that your same experience?

Mr. MERTZ. I think we're getting right now approximately $100,000 is all we get.

Mr. KLUG. When did that start to diminish? Just a time frame, the last 5 years, the last 10 years?

Mr. MERTZ. Five. The last 5 years.

Mr. KLUG. So you have a pool of money out there, and, even at the University of Wisconsin, if you have a 95 percent rate of return, if it's a 5 percent default rate, or other universities, that pool is obviously shrinking by some factor. Is that money being replenished, or is that money that has disappeared?

I mean, as your pool—if you don't have any more capital out there, and if you started with $100, next year, as you kind of factor this along, you're going to start to lose the available money that's out there, because there is a certain default rate involved.

Is the State making up that difference, or is that money disappearing and students can no longer borrow against it?

Ms. NORSETTER. Because the former students at the University of Wisconsin are repaying their loans so well, the revolving account is in fairly good shape, and so the degree to which it is declining is modest. However, it seems to us that it would be nice, from our campus perspective, if there would be a way for us to receive some FCC, despite the fact our revolving account is working at full capacity.

I am pleased to see that the Perkins Loan program is functioning in Madison the way it was conceived to function. It was intended to eventually become a revolving account, and that is exactly what is happening on our campus.

Mr. KLUG. What is the experience across the country, as you look at other universities, are they in much worse shape than we are in terms of that revolving fund?

Ms. NORSETTER. I would say that we're definitely a model.

Mr. KLUG. Well, that's in part to pat you on the back but also to ask how critical it is at other places.

Mr. Farrell.

Mr. FARRELL. I could comment that of the institutions that participate in the Perkins Loan program, the most recent figures that I have seen indicate that approximately 400 of the schools still have their revolving fund at their original level, and there has been some erosion in the rest. Part of that predates 1972 actions, which were cancellations that were not—loans that were not reimbursed, and then the other part of it ties to defaults.

Mr. KLUG. Now, if there are 400 that are in good shape, how many are there that are in trouble? Four hundred out of what universe?

Mr. FARRELL. Universe of 3300, or something like that.

Mr. KLUG. Now, nobody on the panel may be aware of this proposal, but let me run it past you anyway. Congressman Petri, who is my colleague from Wisconsin, has suggested that student loans be hitched, if you will, to student's income, so, as they get out of school and proceed through the work force, they are able to pay back at higher rates. When they first start out, obviously, they pay at reduced rates.

Have any of you seen that plan, and can any of you comment on it?

Mr. MERTZ. Is this the Equity in America investment, that type loan? It's an income-contingent——

Mr. KLUG. Right. Any reaction from the panel at all?

Mr. FARRELL. I have looked at that, and I would say that the assignment that I was given from the Secretary when I arrived on April 8 was to put a major concentration on fixing the existing system, and, while I'm at that, evaluate alternatives that would deliver the product better to the student. And his proposals are part of that. There are some very interesting elements to that, and basically I've been told to look at everything and not rule anything out.

Chairman FORD. Will the gentleman yield?

Mr. KLUG. Absolutely.

Chairman FORD. We gave authority in the last reauthorization for a number of institutions to engage in an experiment, selected by the Department of Education, on income-contingent repayment. One would assume, after 5 years, that we would know whether it works or not, but my staff tells me that we don't know whether it works or not, that we don't have any numbers on what has happened to the 10 institutions that tried income-contingent repayment.

Maybe Mr. Farrell knows when we might know whether the experiment worked, because I would be reluctant to expand that idea if we found out the experiment didn't work, and almost as reluctant to expand it if we don't know what happened after 5 years of an experiment.

Mr. FARRELL. Mr. Chairman, that program, of course, is referenced in our proposals today. The experiment hasn't worked all that well, but I'm told it's because of the limits placed on the number of institutions that were participating, and that's why our people are proposing to expand that to a consortia of institutions to give the experiment a better chance to be evaluated and judged.

But I will say that, along with that, I would be happy to prepare some material and send it up to you, giving you some information about what we have seen with the 10-institution program.

Mr. **Klug**. Back to my question, Dr. Mertz, or Ms. Norsetter, or Mr. Champagne, any reaction at all to the plan?

Ms. **Ybarra**. May I answer?

Mr. **Klug**. Or Alicia, as well.

Ms. **Ybarra**. Our concerns with those experiments would be that interest is not accrued during enrollment or during the grace period and that the interest be subsidized, progressively subsidized.

Mr. **Klug**. That's all I have.

Chairman **Ford**. Mr. Reed.

Mr. **Reed**. Mr. Farrell, I just want to get a point straight. You indicated that this year's budget sees record level of student aid. It seems to me that part of that is an accounting procedure which recognizes the potential defaults that are inherent in the system, so that the increase is not an absolute increase. Is that a fair statement that much of the absolute dollars are simply an accounting recognition of the potential defaults?

Mr. **Farrell**. While the change in accounting for this year has some effect on the budget figures that you look at, if I look at the actual aid available to students, delivered to students, from both the standpoint of Federal dollars allocated as well as the expanding effect that you have with some of the loan programs, there is still a significant increase of aid available to students.

Mr. **Reed**. In absolute terms an increase, but relative to previous levels, 10 years ago or more, or even more recently, we are still—I think the written testimony of Ms. Ybarra indicates that there has been a precipitous decline from the real dollar commitment we are making to loans and to the various programs. Is that correct, in real dollar terms?

Mr. **Farrell**. There is a decline in real dollars. We recognize that, and that's why, within the tight budget discipline that we all have to work with, we are allocating more money to Pell Grants and overall are calling for a significant overall increase in aid to students.

Mr. **Reed**. One further question: With respect to the some of the proposals which the other witnesses have presented urging a 25 percent uniform contribution among all programs.

Mr. **Farrell**. Right.

Mr. **Reed**. What is your position with respect to that proposal? Let me just understand, first, the administration's proposal is a 50 percent match for all programs now?

Mr. **Farrell**. Right. Yes, sir.

Mr. **Reed**. Would you like to comment upon their 25 percent counterproposal?

Mr. **Farrell**. We like the sound of 50/50.

Mr. **Reed**. That is rather a startling change, going from a 10 percent match in certain programs, such as the Perkins program. It seems, at the same time, that you are talking about expanding dollars and putting more dollars in, in absolute but not in real terms. It seems that you are asking the strapped institutions to come up with more money, which would suggest, if they have to pay more to participate, then some might not participate at all or as much as they did in the past.

So is this one of those things where you are, on one hand, you are giving, and on the other hand you are taking quite significantly?

Mr. **Farrell.** Well, I don't think so. First of all, within the perspective of tight budgets that everybody has to confront, colleges and universities, State governments, and the Federal Government, then we all have to look for ways to more effectively deliver our services and our dollars. That's what we are attempting to do with our proposal.

I was interested to see that figures that are released, for example, by the College Board and other organizations that evaluate the level of institutional awards made by colleges and universities are very, very sizeable figures. For example, for 1989 and 1990, the indication was institutionally-awarded aid to postsecondary students approached $6 billion.

So, again, it is, I think, an issue of how do we allocate the relatively scarce resources that we have, and that is what the debate is about.

Mr. **Mertz.** But it seems to go only one way.

Mr. **Reed.** May I continue? Excuse me, Doctor. May I just follow up, and then we will open it up to everybody.

Do you have any analysis which would suggest how much of a fall-off there would be in participation by schools if the rate goes from 10 percent to 50 percent in certain programs? Or, another way to ask the question, how did you come to the 50 percent figure; is there any analytical basis, or it simply sounded good?

Mr. **Farrell.** No, not just because it sounded good. I can provide the committee with some of the analytical work that was done. It wasn't just a figure picked out of the air.

I would say that, again, within the framework of the scarce dollars, we feel that, considering the amount of institutional aid that colleges and universities are making today, we are basically asking them to make the same kind of tough decisions that the Federal Government and the State governments have to make on how they direct their dollars and how they more effectively deliver the product to the ultimate recipient, which is the students.

Mr. **Reed.** Well, Dr. Mertz looks like he makes lots of tough decisions every day, and he wants to say something. So, Dr. Mertz, go ahead.

Mr. **Mertz.** I find it sounds like a one-way street. In terms of our aid right now out of our own institution, it is over twice what we are receiving from all Federal programs, irrespective of campus-based. And if you are asking me to go from 10 percent to 50 percent, or 30 percent to 50 percent, you are doing one of two things, either reducing the amount of the Federal share I'm getting, or you are reducing the amount of aid that I have available.

It seems to be a matter of tight resources, but the only one who is being asked to give more into making student aid available is the institution, and I find that is the difficulty.

It seems to be there is almost a simplistic approach that all we have to do is be more efficient in our delivery of systems. It is an unsubstantiated claim that we are not delivering. And the idea is that we have to learn how to live within tight budgets. Well, I think we are and we have, and we have shown we are committed to education by the amount that we are generating in increased resources.

Next year's budget does not result in an increase on the Federal side for student aid. It is essentially a keep-even or freeze budget, which means you are less.

Ms. **Ybarra**. May I respond?

Mr. **Reed**. Ms. Ybarra.

Ms. **Ybarra**. Also, when schools are forced to come up with more money, what usually happens is that they are forced to raise their tuition, and that keeps happening over and over. And what is going to happen is that eventually only the very, very wealthy and the very, very, very needy are going to be able to go to school.

Mr. **Reed**. Any other comments with respect to this issue?

Ms. **Norsetter**. I just wanted to comment that there is a variety of capabilities across the Nation of institutions' ability to provide assistance in the fashion we are talking about; State-supported community colleges, lots of different institutions. And to assume that there can be some sort of fix with 50 percent across the board I think is——

Mr. **Reed**. Yes. One possible consequence is that now schools have aid money that they can use in a more flexible way; this money is going to be effectively restricted if it has to go towards attracting Federal dollars. So many programs which might not be income-driven, which might reflect even academic merit, would the programs be compromised in a way, Doctor?

Ms. **Norsetter**. You bet.

Mr. **Mertz**. Yes.

Mr. **Reed**. Let me just—I have one other sort of technical point, Mr. Farrell. I also have a missing pen pal issue I would like to address, and this is a parochial concern, but of great concern to me.

I wrote to the Secretary in May with respect to the particular problem we have in Rhode Island of closed credit unions and student financial aid in which those assets are still technically being counted. I asked the Secretary to help; he indicated he would. We are doing it on a case-by- case basis, but this is such a tremendous problem.

I understand that the letter has found its way to your office. I wonder if you have a response. I certainly would like a prompt response and prompt assistance, not just a response. Could you comment on that, Mr. Farrell?

Mr. **Farrell**. Yes, sir. I am aware that you are quite concerned about that problem. I reviewed the material that has been gathered in response to your inquiry. I have asked our general counsel to have another look at it. The essence of it is that the statute governing the formula for student aid is so tightly written that it basically provides the Department with no latitude to change the formula.

But, recognizing the problem that you are confronting and the interest that you have in it, I have asked our counsel to have another look to see if there are any areas where there could be some flexibility. This will move very quickly to you now, your response, and then we would also be happy to work with you and your staff in some of the areas where there may be some flexibility.

Mr. **Reed**. Thank you, Mr. Farrell.

Getting back to the general topic, just the comments, the concluding comments of the panel, one problem we see consistently here, and I think Ms. Ybarra pointed it out, is that we are seeing a diminishing capability for middle-income people to go to school. It seems to me—and this is a little bit of thinking out loud—that some of the programs, the Work-Study programs, the Perkins loans, those that are more discretionary may in some respects assist this community of students.

To go ahead, as the administration proposes, and fundamentally rearrange these programs might have an adverse effect on those middle-income students. Could I have the panel's comments with respect to that line of thought?

Ms. **Ybarra**. I just want to say quickly that College Work-Study really, really helps people in the middle income, because they are the ones that are forced to take out the most amount of loans, and they really appreciate being able to do College Work-Study instead of taking out the third or fourth loan.

Mr. **Mertz**. I agree with you that it would hurt the discretion. If you go back to I think it was the Middle Income Assistance Act, which was, what, in 1978——

Mr. **Reed**. Nineteen seventy-eight.

Mr. **Mertz**. [continuing] when we were using at that point, I guess, approximately $25,000 as a middle-income figure, I think if you were to extrapolate that up to right now, we would be talking about $49,000. I think it is precisely the student in that area that this kind of discretion would allow us——

Mr. **Reed**. At your institution, Doctor, do you use this in a way to reach that population, consciously?

Mr. **Mertz**. Yes, and also with our own funds. That's where we are, quote, unquote, redistributing, in that level.

Mr. **Reed**. Right. Ma'am.

Ms. **Norsetter**. One of NASFAA's recommendations is to remove the requirement that an SEOG recipient be a Pell recipient first. And I think one of the positive features of that recommendation would be just what you are taking about, to some degree, that there would be the flexibility to assist students from a broader income range.

Mr. **Reed**. Mr. Champagne.

Mr. **Champagne**. I guess I would throw caution to trying to accommodate middle-income students through campus-based programs and, more specifically, College Work-Study, singularly. I think that the student financial aid system, in total, needs to be looked at. In fact, we have put forth a proposal to the committee addressing all of the elements of the student financial aid program, which would address both middle-income students' needs as well as lower-income students' needs.

To pick out a specific program and try to address it to one of those groups, and, more specifically, the middle-income, may be very difficult to accommodate. But I think there is a way, within the framework of the proposal that we have submitted to the committee, to address the needs of middle-income as well as needy at the same time.

Mr. **Reed**. Thank you.

Thank you, Mr. Chairman.

Chairman **Ford**. I think I should observe for Ms. Norsetter that there was a specific reason why that linkage was made, and that was that we had—I would like to assume conscious-driven—managers of expensive private schools in the East who came forward to tell us, don't pay any attention to these numbers about how much of their own resources private schools are putting into poor and needy students, because what we are doing is trading dollars here, and we aren't really doing that much more for poor and needy students; we're just doing it in a different way.

That linkage was intended as a way to make sure that at least the Federal dollars were driven at the poor and needy students, and then they would have to acknowledge that the less needy children of alumni were getting a big share of the campus-based program.

I don't know how you could expect anybody in a private school to explain to the parents of students who are paying the full shot that they are subsidizing, through their payment of tuition, the needy students in that school. They are willing to accept the fact that as taxpayers they have some obligation to them, but they are not often willing to accept the idea that as tuition-payers they ought to be paying somebody else's tuition. That's our job, they say.

I see Mr. Mertz, since he is from a private college, I think I might be—I'm not trying to dance on you. Yours wasn't one of the schools we heard from. One of them was a very prominent school in Mr. Sununu's State that likes to talk about doing everything without taxes.

But there was a reason for doing this, and nobody has come forward with any alternative way in which we can get truth in packaging: How much of the alleged institutional aid going to poor kids is really institutional aid going to poor kids and what are they doing with the rest?

Ms. **Norsetter**. May I respond?

Chairman **Ford**. I want to observe for Mr. Farrell, in responding to Mr. Reed's request, and it is May 14 that he wrote to the Secretary, if you look at Section 479(a) of the existing Act, as we amended it in 1986, you will see that we intended, at least with the programs that are talked about here, that Ms. Norsetter and her colleagues around the country would have discretion to ignore these frozen assets as family assets under the uniform methodology prescribed in Section 479.

We had intended that to apply across the board. Unfortunately, the Appropriations Committee puts a tag on it so you can't do it with Pell Grant money. You have to consider that money as an asset for Pell purposes, but you don't have to consider it for campus-based programs—or the Stafford Loan program.

As I understood Mr. Reed's letter, he simply wanted the Secretary to reassure people across the country that you had, as a student aid officer, the authority to do this. I assume that is what they are asking their general counsel. If the general counsel is having trouble, we just gave you the statutory language. We will give you the report to back it up. He does have the authority to do it, and if he would just say so, Mr. Reed's problem might be solved long before we get this legislation passed.

Mr. Jefferson.

Mr. **Jefferson**. Thank you, Mr. Chairman.

I want to, if I may, begin by following up on what Mr. Reed started. I come out of a background of having worked in a State legislature where things got pretty tight with money, Mr. Chairman, around the time that oil and gas went down in price. We had had a tradition of funding local government out of State government. We spent a lot of money on the State government on local needs. As the money got tighter, of course, we started talking about partnerships and shifting the money.

Frankly, the same people down on the local level were suffering and had a problem meeting the obligation we were putting upon them, but we nonetheless balanced our budget that way, and we were able to go home to report that we had done that and done that well, when in fact we had simply played a shell game with the folks back home.

Now, I don't suggest that this is a shell game, but I point up the fact that by talking about a partnership and shifting around responsibility doesn't expand the amount of money that is available to be dealt with and creates perhaps some ripple effects that I want to ask you about.

I think you said, in response to one of Mr. Reed's questions, that an analysis had been prepared by someone in your Department, by you or someone connected with you, respecting this partnership limit of 50/50. I want to know if you had a hand in preparing that analysis?

Mr. **Farrell**. I did not.

Mr. **Jefferson**. Who prepared that analysis for your Department?

Mr. **Farrell**. Well, it would have been prepared within the Office of Postsecondary Education.

Mr. **Jefferson**. And you have had a chance to review it, Mr. Farrell?

Mr. **Farrell**. No, I have not.

Mr. **Jefferson**. So you aren't able to answer any specific questions about it, then, I would take it, since you haven't reviewed it?

Mr. **Farrell**. I'd certainly be happy to try and answer a question that you've got.

Mr. **Jefferson**. Well, you're going to be guessing, I guess, if you haven't seen it or reviewed it, but I'm going to ask you one anyhow and see how we do.

We have been complaining in this committee about the cost of higher education, how it is going up more and more. I wanted to know, if you had had a look at this thing, whether or not the analysis showed that there might be an additional effect that might drive the cost of a college education up for the average person attending. It seems to me there may be some ripple effect here.

The only way that schools are going to meet what they need to—if they are going to have to come up with more money, I know for public schools, I know in my State, they are going to have to go back and raise tuition. They are not going to be able to get a lot more money from State government, if any at all, to meet any of these needs. They are going to put it on the students and on the families.

It is going to end up with the cost of college being higher, it just appears to me. Would you agree with that or would you not, based on what you know about the analysis that you have?

Mr. **Farrell**. I guess what I would say is that within the resources that we're proposing to direct to students this year, we're talking about a significant increase over the previous year, and we're talking about, within that framework of a larger allocation to student aid, we're talking about making more money available to the lowest income brackets. So that is the main theme and thrust of what it is that we're doing.

I think, anytime that you make any changes in how you do anything, there can be ripple effects. I can't say with certainty that it would have the effect that you suggested.

Mr. **Jefferson**. Well, let me ask you this: As a part of this analysis that was done, do you know if any attention was paid to the ability of States to fund this 50/50 partnership?

Mr. **Farrell**. Well, of course—you mean from the standpoint of the publicly-supported——

Mr. **Jefferson**. Yes, the public institutions we're talking about now.

Mr. **Farrell**. I don't know that that was part of it.

Mr. **Jefferson**. Don't you think that is a pretty essential question? We are making an assumption, leaping into the darkness, if we don't have some feeling about that, don't you think? I'll leave that as a rhetorical question.

I wish you would, if I might ask you this, to provide the committee—if I may ask this, Mr. Chairman, it may be something you asked—the analysis that was done by whichever outfit in the Department that did it, that supports this 50/50 proposition, that gives us reasons as to why this is a good idea.

Chairman **Ford**. The Assistant Secretary volunteered that he would give the committee that.

Mr. **Jefferson**. Okay.

Chairman **Ford**. The Secretary will receive a letter this afternoon or tomorrow asking for it, and it will go on our long list of unrequited pen pal solicitations, and we will continue to ask for answers to these things.

I have no question that they leave this table with the full intention of giving us this, but when they get over in that maze something happens. In one instance, I offered the gentleman the other day, if he's having trouble finding the backup for the direct student loan program, my staff can tell him which file drawer it's in over there. Nobody wants to find it, apparently. It was 2 months since we asked for it.

I think I've made it clear to them over there that I'm not either an advocate or an absolute enemy of that idea, but there are so many organizations that have now jumped on the little red wagon that the administration floated down Main Street back early in the year that we have to at least pay some attention to it and look at what they had in mind.

And we are really serious, not trying to pick on the Secretary in any way at all. We know that there is a jumble over there, but we are about the business of writing this legislation for the rest of this decade, and we could make some colossal mistakes if we don't have the cooperation of the Department in seeing what really is going on.

Mr. **Farrell**. May I comment?

Chairman **Ford**. Yes.

Mr. **Farrell**. The Secretary is very aware that you want this material for important purposes. I think he has calmed the momentary flutter of nerves that occurred with the idea of sending the backup material. He has calmed the flutter of nerves that occurred with some of the staff people. So that package is together and will——

Chairman **Ford**. We are not trying to indict anybody over there.

Mr. **Farrell**. I know that. That material is together. He wants you to have it, and you will receive it very shortly. If you like, I'll bring it down myself.

Chairman **Ford**. Thank you for raising the issue.

Mr. **Jefferson**. Yes, sir. Mr. Chairman, we are going to have to go and vote, I guess.

Chairman **Ford**. Would you gentlemen like to come back?

Mr. **Jefferson**. I would. In your submission today, Mr. Chairman, in your letter, could you please ask about the ripple effect this might have on the cost of going to college. I suspect it is going to end up with States not being able to fund it, with schools having to raise tuition, and with the costs going up in every institution, particularly in private cases where you don't even have an option of getting State money. So I think that's a real issue we ought to look into.

Chairman **Ford**. We will extend the gentleman's question through the Chair to the Secretary. We will go and vote and come back in a minute.

Mr. **Hayes**. Could I just say, Mr. Chairman, my schedule would not permit me to come back, but I would like the privilege of submitting at least three or four questions directed towards the access issue, which is so important to kids.

Chairman **Ford**. Well, then, could we let this panel go and agree that whatever questions you gentlemen have you will give them to the staff and we will send them to each of the members of the panel you wanted to ask?

Mr. **Hayes**. Thank you, Mr. Chairman.

Chairman **Ford**. Without objection, then, that is what we will do. We will ask you to respond. The answers with the questions will be printed contemporaneous with today's record, as if they were asked and answered here.

The committee will stand adjourned.

[Whereupon, at 11:35 a.m., the subcommittee was adjourned.]

[Additional material submitted for the record follows.]

Testimony before the House Subcommittee on Postsecondary Education on the Reauthorization of the Higher Education Act

by

Kate Wilson

Associate Bursar at the Massachusetts Institute of Technology and
Legislative Chair of the Coalition of Higher Education Assistance
Organizations (COHEAO)

June 27, 1991

Washington, D.C.

Mr. Chairman, I am Kate Wilson, Associate Bursar at the Massachusetts Institute of Technology. Prior to working at MIT, I was a financial aid administrator at public universities in California for 15 years. I am currently Chair of the Legislative Committee for the Coalition of Higher Education Assistance Organizations (COHEAO). My comments today reflect the reauthorization perspectives of COHEAO on the Perkins Loan program.

The Perkins Loan program is the current iteration of the National Defense Student Loan program originally authorized in 1958. As such, it is the oldest of the federally supported student aid programs and, in my view, one of the most successful. The loans are available in amounts up to $9,000 for a bachelor's degree and up to $18,000 for a graduate or professional degree.

Nationally approximately 83 percent of undergraduate, dependent Perkins Loan borrowers come from families with incomes of $30,000 or below. Approximately 25 percent of these borrowers come from families with incomes below $18,000.

The national Perkins Loan default rate, as calculated by the Department of Education, is approximately 8.02 percent.

Currently, over 3,000 institutions participate in the Perkins Loan program, awarding over 800,000 loans, with an annual dollar value of approximately $880 million. Institutions manage these loans directly and may involve loan servicers and loan collection agencies in the process.

Institutions of higher education value the Perkins Loan program because it provides unique flexibility in creating financial aid policies and awards which best meet the needs of students. Institutions are able to target Perkins Loan funds to low income students. In addition, the program provides a low-cost, renewable source of aid since the funds awarded include borrower repayments, institutional contributions, and federal funds. And, since institutions have control over the collection of these loans, default rates are lower.

Mr. Chairman, let me now turn briefly to the Perkins Loan program at MIT. Students are admitted to MIT based on their excellence with no consideration of their family's ability to contribute toward the expenses of their education. This long standing tradition of need-blind admissions means that MIT guarantees to meet the financial need of all eligible students through loans, grants and employment.

MIT has a demonstrated commitment to diversity in our student population, and Title IV programs (loan, grant and work) support that diversity. Recently, President Charles Vest stated, "A proud part of MIT's tradition has been that it has attracted an unusually large number of students from financially modest backgrounds, often the first of their families to attend a university."

MIT's undergraduate population includes 34 percent women and approximately 13 percent underrepresented minorities. Fifty-seven percent of our undergraduates receive financial aid, and this year will borrow more than $9 million. This $9 million includes $3 million in Perkins Loans, $5 million in Stafford Loans, and $1 million in MIT's Technology Loan Program. At MIT the average Perkins Loan for 1990-91 was $1,300, which is equal to the national average. Our Perkins Loan Default Rate for 1990 was 1.18%.

Now, I would like to review several of the COHEAO legislative recommendations presented in the reauthorization proposal.

The COHEAO Legislative Committee developed our recommendations through a year long process which involved individuals from public and private institutions, loan servicers, and collection agencies. The reauthorization proposals were reviewed and approved by membership and the Steering Committee.

(1) Expansion of the Perkins Loan Program

To provide a greater number of loans to students, we recommend that certain Perkins Loan funds be reallocated to the program rather than being returned to the U.S. Treasury. Those funds include defaulted loans assigned to the Department of Education, funds recaptured from closed schools, unclaimed cancellation reimbursements and funds recaptured pursuant to audit findings. Such funds could be placed in a National Revolving Fund and be reallocated to institutions.

(2) Simplification of Deferments

The 11 separate deferment categories for deferring a Perkins Loan are overly complex. They are confusing to borrowers and difficult to administer. We recommend that deferments be simplified and limited to two types: in-school and hardship.

(3) Compromise

COHEAO recommends that institutions or delegated collection agencies be permitted to compromise on defaulted Perkins Loans, a practice which is permitted under the Guaranteed Student Loan program and the Department of Education. Extending this authority to institutions would enhance Perkins Loan collections.

(4) Credit Bureau Reporting

Perkins Loan regulations require borrowers to be reported to credit bureaus when a loan becomes 120 days past due. To enhance collection efforts, to reduce defaults, and to provide all creditors with a more accurate picture of a borrower's debt level, we recommend that Perkins Loans be reported to credit bureaus at the time the loan is disbursed to the student.

In conclusion, I emphasize that continuation of the Perkins Loan Program is essential. The importance of these loans to students at MIT and throughout the country cannot be stated too strongly. The program is a valuable resource in providing educational opportunity.

Mr. Chairman, we thank you for this opportunity to be here today and welcome your questions.

SUMMARY OF COHEAO REAUTHORIZATION RECOMMENDATIONS

COHEAO supports the expansion of the Perkins Loan Program as a low-cost borrowing option for eligible students. COHEAO believes that grant assistance is the financial aid of choice for low income students and supports efforts to increase funding for Pell Grants, the SEOG program, the SSIG program and College Work Study.

Specific amendments to Title IV proposed by COHEAO include:

1. Institutions should report Perkins Loans to national credit bureaus within the period for which the loan was made. In general, COHEAO supports uniformity of practice regarding credit bureau reporting practices for Perkins and Guaranteed Student Loans.

2. COHEAO recommends simplification of Perkins Loan deferments to conform with the GSL program. In both instances COHEAO recommends limiting deferments to two categories: in-school periods and forbearance.

3. COHEAO recommends that the requirement that third party collection agencies place monies collected on behalf of schools in interest-bearing accounts be deleted from current regulations. The appropriate time for funds to be place in interest bearing accounts is when credit bureaus return proceeds to the institution.

4. Institutions should be permitted to compromise on defaulted Perkins Loans to encourage borrower repayment.

5. COHEAO recommends that any appropriated Perkins Loan funds currently required to be returned to the Treasury, instead be place in a National Revolving Fund and reallocated to institutions.

6. COHEAO recommends that the Department be permitted to capture unexpended Perkins Loan funds which an institution has failed to award to eligible students within two years after the funds were received by the institution.

7. Required use of IRS skip-tracing services should be made optional for institutions.

8. The Department of Education procedures for audits should be substantially revised.

9. The Department of Education procedures for program reviews should be substantially revised.

10. Sec. 488 of the Higher Education Act should be revised to include Perkins Funds as eligible for transfer among campus-based

accounts, and the percentage of funds transferable should be increased to 25 percent.

11. Perkins loan limits should be increased to an annual undergraduate maximum of $3,000; an undergraduate cumulative maximum of $15,000; and a graduate and professional student borrower maximum of $25,000.

12. An administrative cost allowance of $10 per Guaranteed Student Loan should be paid to participating institutions by the Department of Education.

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TESTIMONY OF

KATHY SACKMAN, REGISTERED NURSE AND

INTERNATIONAL VICE PRESIDENT

AMERICAN FEDERATION OF STATE, COUNTY AND
MUNICIPAL EMPLOYEES (AFL-CIO)

before the

POSTSECONDARY EDUCATION SUBCOMMITTEE

COMMITTEE ON EDUCATION AND LABOR

U.S. HOUSE OF REPRESENTATIVES

on

REAUTHORIZATION OF HIGHER EDUCATION ACT

JUNE 27, 1991

in the public service

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Mr. Chairman, and members of the Committee, I am Kathy Sackman, a Registered Nurse in the State of California and Vice-President of the American Federation of State, County and Municipal Employees (AFSCME).

As co-chairperson of the United Nurses of America, I speak to you today on behalf of over 40,000 nurses and over 60,000 nurse aides represented by AFSCME.

America is facing a life-threatening shortage of registered nurses, the largest professional component of the health care delivery system.

Since 1983, unfilled nursing positions have more than doubled, leaving more than 200,000 vacancies nationwide. Hospitals across the county have been forced to close emergency rooms, reschedule surgery, limit patient admissions and eliminate desperately needed beds due to an inability to find enough qualified nurses to provide adequate staffing.

AFSCME's nurses work in nursing homes, home health agencies and public hospitals around the country. It is these facilities that are today experiencing a critical shortage of nursing personnel. The Commission on the National Nursing Shortage, which issued their final report this month, has documented the potentially crippling shortages of nurses in long term care facilities and home health care agencies.

In a nurse staffing survey completed last year by the National Association of Public Hospitals, 44 public hospitals in various cities across the country reported that they had 2,875 vacancies in approved, budgeted nursing positions in 1990. Public hospitals in Chicago, Los Angeles, New York City, Seattle, Dallas and New Orleans, among others report significant problems in recruiting and retaining nurses at all levels.

Chronic problems associated with the nursing profession, including low pay, compressed salary ranges, poor professional image and low job satisfaction, contribute to this critical shortage. While there has been some cyclical remission of shortfalls of nurses, the need is still acute in medically underserved areas: not only public hospitals, but rural health clinics, migrant health centers, Indian health service centers and Native Hawaiian health centers as well.

AFSCME supports amending the Higher Education Act of 1965 to permit loan forgiveness for individuals in training as nurses if they enter into an agreement with the Secretary to serve as a nurse in one of these medically underserved facilities. This provision would be similar to the loan forgiveness program currently available to some teachers.

The cost of both teaching and nursing education is often out of reach for minority and, other economically disadvantaged, potential students. For nursing, this is particularly ironic since many potential students live in inner city areas with serious nursing shortages. Providing affordable and accessible nursing educations through this Act would both help more minorities achieve professional positions and alleviate the health care crisis among the minority populations.

The inclusion of nurses in this bill would be restricted to those who are to serve in geographic areas of need, and who are themselves in economic need. This would limit the number of nursing students to who the program applies and insure that their services are precisely targeted to areas of most need of their services.

This Act concerns professional education, and, as such, is, an appropriate place to establish this limited project. The ability of the educational system to respond to national need, through the assistance of the Federal government, is the cornerstone of this Act.

As we are all aware, our health care system is in crisis. In areas such as infant mortality, the United States has dropped below all other industrialized nations. Further, the expanding impact of AIDS, drugs, violence, longevity and technology increases the need for professional patient care from registered nurses. We believe making loan forgiveness available to nursing students would be an important step in addressing our crisis in health care.

I thank you for the opportunity to testify this morning and would be happy to answer any questions you may have.

AACOM

Chicago College of Osteopathic Medicine

College of Osteopathic Medicine of Oklahoma State University

College of Osteopathic Medicine of the Pacific

Kirksville College of Osteopathic Medicine

Michigan State University College of Osteopathic Medicine

New York College of Osteopathic Medicine of New York Institute of Technology

Ohio University College of Osteopathic Medicine

Philadelphia College of Osteopathic Medicine

Southeastern College of Osteopathic Medicine

Texas College of Osteopathic Medicine

The University of Health Sciences College of Osteopathic Medicine

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FORMAL STATEMENT

DAVID M. RICHARDS, D.O.

Chairman, Board of Governors
American Association of Colleges of Osteopathic Medicine

President, Texas College of Osteopathic Medicine
Fort Worth, Texas

HIGHER EDUCATION ACT AMENDMENTS

before

HONORABLE WILLIAM D. FORD
Chairman
Subcommittee on Postsecondary Education
Committee on Education and Labor
United States House of Representatives

June 27, 1991

Mr. Chairman and Members of the Subcommittee, I am David M. Richards, D.O., President of the Texas College of Osteopathic Medicine, in Fort Worth. I also am Chairman of the Board of Governors of the American Association of Colleges of Osteopathic Medicine (or AACOM) which represents our 15 colleges and their 6,615 medical students. I am pleased to testify before you today on Title IV loan programs used by health professions students, and more specifically on the Perkins Loan Program, which is the focus of this hearing.

We believe the package of recommendations we present to you today will help fulfill the nation's need for more primary care physicians in underserved areas. Our recommendations are also designed to increase the accessibility of medical education for minority and disadvantaged students.

Osteopathic medicine has a special preventive medicine orientation. From the inception of the osteopathic profession nearly 100 years ago, we have placed special emphasis on community-based family practice and on the primary care model in training our medical students. Health promotion and disease prevention are integral to osteopathic medical education. The commitment to these concepts has resulted in a population of trained osteopathic physicians ready and willing to practice in rural settings, in underserved areas, in the relatively low paying practice of primary care.

It would be a severe loss to this nation if family practice in remote, some would say undesirable, areas were suddenly to disappear. Though such practice is one of our major strengths, I am concerned that this may be happening, albeit gradually, in osteopathic medicine. One way to help reverse the threatened decline in this vitally important practice area is to bolster Federal health professions loan programs.

Mr. Chairman, you have stated that reauthorization of the Higher Education Act is the most important education issue before the 102nd Congress. This is a key objective for AACOM, as well. Our students are dependent on these grants and subsidized loans. Financial assistance in most cases is indispensable to their ability to attend our schools. To convey to you the absolutely critical need to modify the loan programs used by our students, it is necessary for me to describe for you a profile -- or paint a picture, if you will -- of the students, and of the schools of osteopathic medicine they attend:

- Our students are likely to be from families with moderate incomes. Forty-eight percent of them have family incomes below $40,000.

- Ninety-six percent of our students are in debt when they graduate. Their average indebtedness is over $71,000. It's even higher for minority students -- an enrollment area in which we have seen a 100% increase in our freshman over the last 4 years.

- Fifty-eight percent of osteopathic physicians are in primary care practice, but only 41% of 1990 seniors indicated primary care as their practice preference.

- While osteopathic physicians represent only 5.1% of all physicians (M.D. and D.O.)

nationwide, they account for 15.3% of all physicians practicing in small communities of 10,000 or less.

- A majority of the nation's colleges of osteopathic medicine -- 9 of 15 -- are private and receive no State support or subsidy, necessarily increasing the cost of education to the student.

- The ratio of applicants for enrollment in colleges of osteopathic medicine to available slots is 2.6 to 1, a figure exceeding that of allopathic schools of medicine. And applications rose by 22% last year.

Reduced to a capsule statement, the foregoing figures and percentages show that our students have to spend more for their medical education, on average, than do other health professionals; that they often come from families with modest incomes, and must incur more debt than other students; that they practice where the need is greatest -- three times as often as physicians in general; but their attraction to primary care is diminishing because of their heavy debt load.

We feel very strongly that the students who fit this profile are a most precious resource. Title IV programs are most useful in our schools' and students' efforts to provide the types of graduates most needed today. If our graduates do not get to practice primary care in underserved areas, even greater gaps in service delivery to these populations inevitably will develop.

The flight from primary care reflects a harsh economic reality. Grants and subsidized loans are not keeping pace with the cost of attending medical school. At the same time, the debt load is increasing as the availability of low cost loans disappears. What alternative does the student have but to practice medicine in a specialty field that is more lucrative than primary care? The heavy debt burden must be paid off somehow.

The cost of attendance at most of our unsubsidized private community-based schools often exceeds the amount available from all current Federally guaranteed loans. For example, at one representative private college of osteopathic medicine, the recommended budget for a single senior this fall will be about $37,500, including $17,850 in tuition. Under the current Department of Education borrowing maximums, a Stafford loan would provide $7,500, Supplemental Loans to Students (SLS) would allow $4000, Perkins might provide about $2,000, Health Professions Student Loan (HPSL) might contribute $2,000. Even if the SLS loan amount is increased to $10,000 as the Administration is proposing, the unmet need would amount to $19,000, or higher. The maximum available each year under the unsubsidized Health Education Assistance Loan (HEAL) program is $20,000. Consequently, our students have little alternative but to borrow from outside loan programs at higher interest rates, increasing the risk that they will be forced into other subspecialties due to higher indebtedness.

If we are to limit the threatened erosion of primary care practice in rural and other undeserved areas, the Congress must take bold and immediate action to strengthen our student loan programs. In this connection, AACOM has several recommendations:

First, we recommend an increase in the aggregate, maximum Perkins loan amount from $18,000 to at least $22,000. At the same time, the current 5% interest rate on such loans should be retained. Eighty-four percent of our students borrow under the Stafford loan program, and do so at or near the maximum of $7,500. Perkins funds, on the other hand, are so very limited and the allocation formula is so varied, that only 34 percent of students in 1989-90 at osteopathic medical schools with Perkins programs were able to obtain Perkins loans. It is our analysis that the average aggregate borrowing under Perkins at graduation is much less than even the current $18,000 limit -- about $5,000 - $8,000.

Second, we urge the Congress to increase overall funding for the Perkins loan program to increase its availability to more disadvantaged students. Such action will enable many students to take advantage of a low cost source of financial assistance, and thus reduce the pressure to go into a higher paying medical subspecialty. It is clear that the ethic inculcated in students of osteopathic medicine to enter community-based primary care would be embraced by more students if they have the means to do so.

Third, Congress should provide that the 10% institutional capital requirement under the Perkins program be waived if a school can meet four criteria we describe below: Under the complicated Perkins allocation formula, the Department of Education determines each school's loanable amount. AACOM believes the Department of Education should conduct a review to determine whether the current Perkins institutional allocation approach reflects true student needs. For example, students at the nine private colleges of osteopathic medicine have much higher educational costs than those at a State medical allopathic school in the same State. The lack of a comparable State subsidy increases the financial need of a student enrolled at a private college of osteopathic medicine.

The Perkins program provides a 90% Federal capital contribution. A ten percent match is not a major hurdle for many State medical schools because they receive significant subsidies already. Private allopathic medical schools with large endowments, or those with cross-subsidies from faculty medical specialty practices, also can easily come up with the 10% match. Except in three States, there are no State appropriations for our nine private schools that help equalize student access to financing medical education. The Federal loan formulas distinctly disadvantage the osteopathic medical student in need. We believe adjustments in the allocation and capital contribution formulas are necessary if the Perkins program is to meet the needs of osteopathic medical students.

Mr. Chairman, we believe that a health professions schools should have the Perkins 10% institutional contribution waived if it: (1) can demonstrate the need for higher tuition based on lack of comparable revenue from endowments, faculty practice income, and State appropriations; (2) has high percentages of low income/disadvantaged/minority students (as defined by the Secretary); (3) has had an historical and current emphasis in primary care, health promotion and disease prevention, or other emphasis deemed a national priority (as determined by the Secretary); and (4) has a very low default rate (to be defined by the Secretary). This approach is generally consistent with the Minority Faculty Loan Repayment Program enacted by Congress last year.

Additionally, Mr. Chairman, AACOM urges, as part as its Title IV package of recommendations, that the Stafford loan limits be increased to $10,000 per year, and that the SLS maximum be raised to $15,000 per year. These changes would greatly enhance the ability of the low and moderate income student to finance his or her medical education.

Finally, Mr. Chairman, it is unrealistic to expect recent medical graduates to begin repayment of their federal loans two years after they graduate. These new physicians receive very little income initially, particularly in the primary care field. By increasing the current two year deferment to at least three years, Congress would enable more of them to practice in underserved areas, and in primary care.

The recommendations we urge upon this Committee today would considerably benefit students of osteopathic medicine. More important, however, these changes would improve access to quality primary care in many rural communities and other underserved areas.

Thank you for affording AACOM the opportunity to appear before you today. I shall be pleased to answer any questions you may have.

Testimony of

Jonathan Shawn Landres

Columbia College Class of 1994

Columbia University
in the City of New York

to the

Committee on Education and Labor

Subcommittee on
Postsecondary Education

U.S. House of Representatives

Washington, D.C.
June 27, 1991

Mr. Chairman, members of the Subcommittee, my name is Shawn Landres. This fall, I will be a sophomore at Columbia University. Three months ago, I coordinated a visit to Washington for members of the Columbia College Student Council and had the opportunity to discuss our concerns with some of you;[1] I am pleased to share my thoughts today in a more formal setting. At this time, however, while I am speaking on my own behalf, and on behalf of middle-income students nationwide, I am not acting in any official capacity, and my opinions are not necessarily those of the Columbia College Student Council, nor of the Columbia student body.

I would like to talk with you about what the College Work-Study program means to so many students at Columbia and all over the United States. Perhaps today's hot news stories are Pell Grants and Guaranteed Student Loans, but if one of you were to talk to any student on financial aid at Columbia, the first program you would hear about would probably be his or her Work-Study job. You'd probably hear that the student's allocation was too small or about to be cut — more likely, both. But Work-Study is the one financial aid program that affects students on a day-to-day basis.

Before I describe potential innovations in the Work-Study program, I would like to tell you about a Columbia student who has used his Work-Study experience to benefit not only himself, but also his community. Greg will be a junior in Columbia's School of Engineering and Applied Science. Thanks to Work-Study, he spent this past year working in the plasma physics laboratory. At a student forum earlier this year, he said that this job is the most important part of his financial aid package — because it minimizes his rapidly growing debt burden and, more importantly, because he has been able to apply his classroom learning experiences to real-life situations in the lab. And Greg is not using his new-found knowledge just for self-advancement; this summer, he has put his skills to use for the Environmental Protection Agency. Because of the College Work-Study program, Greg is providing American taxpayers with a generous return on their investment in him.

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[1] The recommendations of the delegation may be found in Appendix I.

Greg is but one of the many students at Columbia who have put their skills to work for their school and their community. During the 1989-90 school year, over 1,400 undergraduates earned an average of $1,500 each. Another thousand graduate students earned approximately $3,800 each.[2] On campus, many students worked on research projects, in performing and visual arts productions, and for administrative officers. Off-campus, they earned over half a million dollars working for such diverse community organizations as the New York City Urban Corps, Bank Street College, the Municipal Art Society, the NAACP Legal Defense Fund, the New York City Public Development Corporation, the New York City Division of Human Rights, the Rainforest Alliance, the Riverside Adult Learning Center, and St. Luke's-Roosevelt Hospital. Any cuts in federal Work-Study funding would have an immediate and deleterious effect on the ability of these organizations to serve their community; for example, the already highly-impacted Urban Corps relies heavily on the $520,000 it uses each year to staff vital projects in New York City's public service agencies with student interns from Columbia's School of Social Work. Work-Study also provides vital support for teaching and research assistants, who are essential to the functioning of most colleges and universities.[3]

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[2] Additional data concerning the distribution of Work-Study funds at Columbia may be found in Appendix II.

As you can see from the data in Appendix II, financial aid officers at Columbia have been able to use the College Work-Study program as a successful alternative to loans and their accompanying debt burden; during the 1989-90 school year, the typical Columbia student earned approximately two and a half times the national average.[4] Work-Study remains the only financial aid program which both minimizes post-graduate debt and benefits the student and his or her community.

The program's greatest advantage, however, remains unknown to most people. Recent research has demonstrated that of all the financial aid options available to students, only participation in the College Work-Study program can be linked to persistence.[5] Much more than for grants, there is substantial evidence that College Work-Study may keep students in school.[6]

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[3] Students in the Graduate School of Arts and Sciences — who comprise most of the university's teaching and research assistants — traditionally have the highest average Work-Study earnings. The typical GSAS student earned $5,480 in 1989-90.

[4] During the 1989-90 school year, the average Columbia student earned $2,454 in Work-Study dollars, compared with the national average of $935. *Program Summary Book for 1988-1989* (Office of Postsecondary Education, Department of Education, 1990), 5-64.

[5] "At the federal student aid program level, perhaps the key to effective support for persistence will come from one of the more under-utilized programs — College Work-Study (CWS). ...If Tinto's and Astin's belief that integration and campus involvement are keys to persistence, work-study and self-help efforts on campus should receive greater prominence. The assumption here is that the broader the number of connections the student has to the campus, the more likely the student is to become part of that community, adopt its values, and transfer loyalties from other competing environments that decrease the likelihood of persistence." Oscar F. Porter, "Where Do We Go From Here: Looking Beyond Student Aid and Access to Persistence," in *Changing Dimensions in Student Financial Aid* (National Institute of Independent Colleges and Universities), 20.

[6] "Mortenson's research (1980) strongly indicates that for low-income families the expectation of substantial debt is enough to keep students from opting for college at all. ...There is little, if anything, in the literature on persistence that indicates an effect for grants alone beyond their role in financial support. Yet, the literature is rife with reports about the importance of the first year or two to completion of a degree and the necessity to make a personal connection between the student and the institution to increase persistence. Employing College Work-Study as a major component of student aid is at least as likely as front-loading grants to enhance persistence. In combination with grant support that is

Why? Because, as I said earlier, it is the one program that involves students on a day-to-day basis in the life of their school and their community. Students who work where they study gain a personal link to their surroundings, a sense of belonging, a sense of commitment. No other aid program can do that.

What, then, should be done for College Work-Study during this reauthorization process?

The existing program requires some adjustments:

First, authorization levels should reflect the importance of the program. It is unconscionable that real funding for CWS dropped 19% between 1980 and 1990.[7] Work-Study is an effective alternative to loans for all students, and is the only non-loan program available to many students from middle-income families. Cuts and freezes continue to disenfranchise more students every year.

Second, the Job Location and Development programs, as well as the Community Service-Learning program, should be streamlined in order to benefit students and the communities in which they live, especially during the current economic downturn. Carefully targeted Work-Study dollars can infuse depressed or underfunded programs and organizations with new life.

Third, the recommendations of the higher education community for a uniform Campus-Based Program fund-matching level of 25% and a

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guaranteed to continue throughout the undergraduate years, the effect of CWS on persistence should be significant." *Ibid*, 19-21.

[7] The statistic is drawn from *Trends in Student Aid: 1980 to 1990* (New York: College Entrance Examination Board, 1990), as reprinted in *Update from Washington: A Report from the Washington Office of the College Board*, February 1991, 4.

transfer authority level of 25% should be adopted. This would simplify the process and allow institutions greater flexibility in meeting need.

The Congress should also consider new applications for Work-Study:

First, the Congress should provide incentives for skills training in occupations of highest national need.[8] A new Twenty-First Century Skills Development Program could encourage students to seek training and employment in areas where they can contribute the most to the competitiveness of the American economy.

Second, the Congress should consider the use of additional Work-Study incentives for continuing students, many of whom are single parents, with young children, who must give up full-time work in order to return to school. A special program could be established which would provide livable incomes for the families of continuing students while they pursue their studies.

Finally, and perhaps most importantly, the Congress should examine the specific financial needs of students from middle-income families. The College Work-Study program and an effective income-contingent loan program, such as the IDEA plan proposed in H.R. 2336, could form a new core of financial aid for students whose annual need runs from $2,000 to $12,000. A combination of Work-Study and IDEA could reduce currently devastating debt burdens to manageable levels while simultaneously encouraging community responsibility.

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[8] "A key determinant of the flexibility of the economy is the quality of its work force. Education raises skill levels that increase job performance and productivity. Well-educated workers have the basic skills necessary to adapt to the changing demands of a dynamic economy and are able to compete with their peers in other nations." *Economic Report of the President* (Washington, DC: GPO, 1991), 121.

College Work-Study is one of the unsung heroes of Title IV. All too-often overshadowed by higher-profile and more controversial programs, it enters the 1990s in great danger of being cut back drastically and disastrously. It is my hope, Mr. Chairman and members of the Subcommittee, that you come away from this hearing with a renewed sense of commitment to innovation and expansion in the College Work-Study program and, more importantly, with a renewed desire for positive and creative change to ensure that every student in need will have what it takes not only to get into college, but also to stay there until graduation.

Appendix I

Recommendations for The Reauthorization of the Higher Education Act[9]

prepared by the
Columbia College Student Council
Washington Student Delegation

Shawn Landres *President, Class of 1994* *California*	*Sarah Wolman* *University Senator* *Massachusetts*	*Jack Hidary* *University Senator* *New York*

March, 1991

Background

A. Overview.

While we strongly advocate a vastly expanded student aid system, we are mindful of the economic realities facing the nation; rather than pressing for unattainable goals or giving up all hope, we are seeking creative, but most importantly, productive solutions to what is truly a national dilemma — assuring students access to higher education and providing them with sufficient support to keep them in school until graduation.

B. Access and Choice.

The focus of our efforts is the middle-income student, for whom student aid has moved not from dream to reality, but just the reverse. The 1978 Middle Income Student Assistance Act (MISAA) provided that a student whose family income was $25,000 (approximately $50,000 in 1991 dollars) was eligible for a minimum Pell Grant. Today, according to Department of Education statistics, only 5% of Pell Grants go to students whose 1991-dollar income is only $30,000. Clearly, we must find a way to restore equity among students of all levels of income and need.

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[9] Shawn Landres, Sarah Wolman, and Jack Hidary, *Recommendations for the Reauthorization of the Higher Education Act of 1965* (New York: Columbia College Student Council, 1991).

C. Retention.

Retention will be key in addressing the middle-income dilemma. More middle-income students drop out than graduate — they simply cannot meet the costs. Although we commend prior programs for emphasizing access, we feel that the problem of retention must be given the attention it deserves.

Recommendations

A. Administration and Need Analysis.

- Establish a single and simple need analysis form for all federal, state, and institutional programs. Develop the appropriate technology for financial aid information to be shared easily by all aid providers.

- Establish new legislation which would allow the Department of Education to tailor regulations and guidelines to the needs of specific types of institutions.

- Adjust the need analysis formulae for Stafford and Perkins Loans so that families may exempt the value of their home or farm from consideration as assets for the purposes of determining eligibility. This will allow many middle-income students, whose home values far exceed their family income, to qualify for low-interest loans.

B. Pell Grant Program.

- Raise the maximum grant to $4,000 — $2,500 for living expenses and 25% of tuition up to $1500. Determine individual grants by subtracting the expected family contribution (EFC) from this amount.

- Establish an automatic yearly adjustment for the Pell Grant program based on the Consumer Price Index (CPI).

- Increase eligibility in line with the original intent of the MISAA.

C. Campus-based Programs: Supplemental Education Opportunity Grants (SEOG), College Work-Study (CWS), and Perkins Loans.

- Improve retention levels by providing bonus campus-based dollars according to the number of returning students who are eligible for aid.

- Expand the College Work-Study program so that it might become a more viable alternative to loans and debt. Allow all students to participate in summer work-study by removing the word "local" from the definition of "community services" in the Job Location and Development Program and in the Community Program. This will allow students to participate in summer work-study programs even if they live in different states from the one in which they attend college, and will provide additional flexibility for financial aid administrators to meet individual need.

- Eliminate the preference that SEOG recipients also be Pell Recipients. This will allow increased institutional flexibility in meeting need.

- Follow the recommendation of the American Council on Education to "expand the authority of institutions to transfer funds among campus-based programs; specifically, allow them to transfer up to 25 percent of SEOG, CWS, and Perkins funds among the programs. In exchange for such added flexibility to use campus-based aid, the institutional matching requirement would be increased in the aggregate by setting a uniform 25 percent rate for all three programs." The added institutional flexibility would allow administrators to respond to individual needs even more accurately. The administration's proposal, a 50% matching requirement, would be an undue burden; some schools can barely make the 30% match.

- Increase authorization and appropriations for all campus-based programs.

- Increase Stafford and Perkins loan limits to $3,500 for first-year students and $6,000 for all subsequent undergraduate years. Provide for regular increases in these limits based on CPI adjustments.

- Exempt institutions with low default rates from the requirement that schools improve Perkins Loan collections by 10% over the previous year in order to qualify for new capital funds. This regulation discriminates against those schools which have the most effectively managed programs.

E. Alternative Loan Financing Programs.

- Explore the possibilities of establishing industry-financed field-specific loans for upper division undergraduates. For example, AT&T, MCI, and U.S. Sprint might create a loan pool for needy students majoring in Electrical Engineering, Telecommunications, Computer Science, et alia. Provide suitable tax incentives to encourage such programs. Lenders would further benefit in that loan recipients, by nature of their majors, would be likely to work for them.

- Establish loan deferment and loan forgiveness programs for graduates entering teaching, public and community service, and 501(c)(3) non-profit organizations.

Appendix II

College Work-Study at Columbia University, 1985-1990, Current Dollars

Undergraduate Students

Year	Number of Students	Total Earnings	Average Earnings Per Student
1985-86	1,456	1,825,300.99	1,253.64
1986-87	1,423	2,022,225.47	1,421.10
1987-88	1,422	2,197,613.63	1,545.44
1988-89*	1,423	2,195,750	1,543
1989-90*	1,422	2,131,459	1,498

Graduate Students

Year	Number of Students	Total Earnings	Average Earnings Per Student
1985-86	1,205	3,702,324.33	3,072.47
1986-87	1,242	4,022,344.35	3,238.60
1987-88	1,271	4,262,368.77	3,353.56
1988-89*	1,154	4,107,482	3,559
1989-90*	1,043	3,917,016	3,756

All Students

Year	Number of Students	Total Earnings	Average Earnings Per Student
1985-86	2,661	5,527,625.32	2,077.27
1986-87	2,655	6,044,569.82	2,276.67
1987-88	2,693	6,459,982.40	2,398.81
1988-89*	2,577	6,303,232	2,446
1989-90*	2,465	6,048,475	2,454

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* For the 1988-89 and 1989-90 school years, undergraduate and graduate data from the School of General Studies were combined in university records. For these two years, School of General Studies data are counted as undergraduate earnings.

NATIONAL ASSOCIATION OF STUDENT EMPLOYMENT ADMINISTRATORS
P.O. BOX 1428, Princeton, New Jersey 08542

Mr. Chairman and members of the subcommittee my name is Bob Cunningham. I am the Director of Student Employment at Princeton University and the Federal Relations Chair for the National Association of Student Employment Administrators. I am here today representing that association and its 656 members including private and public two and four year colleges and proprietary institutions. Our membership consists of professionals who are dedicated to helping students find ways of obtaining meaningful employment that will help finance their education.

I would like to take this opportunity to thank you Mr. Chairman and the Members of the subcommittee for your commitment to education and for your past support without which many of our current programs would not exist and many students would never have an opportunity to attend college.

My purpose in being here today is to discuss College Work Study, the only Title IV program that reinforces the American work ethic, contributes to a student's educational program, provides valuable job skills, influences future career decisions, improves student retention, has no default problem, and reduces student indebtedness, while providing valuable financial assistance. It serves as a fundamental part in arranging financial aid packages. On campus we find both students and parents expecting the aid package to contain employment and that students are eager to assume the responsibility of working to help pay for their education.

The analogy that scholarships, loans and a job represent the three legged stool which supports the financial aid programs is a relevant one. Our concern, however, is that the work leg is being splintered and may lose some of its ability to be supportive.

Over the years various components have been added to College Work Study without added resources. Some examples are: the Job Location and Development Program, the Job Location and Development Community Service Program, and the Community Service Learning Program. Our concern, then, is that other volunteer programs or community programs may also be considered.

Our membership feels strongly that community service initiatives are meaningful and worthwhile. However, under the current system there are not one, but three different College Work Study segments earmarked for community service. This duplication serves to dilute otherwise meaningful goals and results. If a single community service program could be identified that combines the current guidelines and intent of the three programs, it would simplify the administration process and improve effectiveness monetarily and operationally in responding to community service needs. The members of the National Association of Student Employment Administrators would be happy to assume the responsibility for such a program, without any further administrative cost to the federal government. My own opinion is that it would be cheaper for the federal government to run one program instead of three.

Second, I'd like to point out that a change in the current College Work Study 70%-30% (Federal to institutional) match to 50%-50% would have adverse effects on institutional work programs. Currently, many institutions provide work opportunities for middle income students funded beyond the College Work Study Program from institutional dollars. I have been advised by a large majority of my membership that the only avenue open to them, if they had to increase their contribution to College Work Study, would be to take the money from these institutional programs and cut back on student jobs overall. The net effect would be a loss of work opportunities for students from middle income families who struggle to pay college expenses as much as their lower income classmates. Other institutions feel they would be forced to eliminate College Work Study from their aid package, if the 70%-30% rate changes.

The April 1, 1991 increase in minimum wage from $3.35 to $4.25 represents a 27% increase in wages. Although the increase was warranted, it has forced institutions to dig deeper into their resources to maintain the status-quo and has provided yet another demand on very limited resources. Any further drain will simply mean that some students will be denied work opportunities, even though they are clearly dependent upon employment to help finance their education.

The minimum wage increase does not assist the ability of campuses to meet the financial needs of students because they will have to work fewer hours due to budget constraints. Because of these constraints, students would receive no monetary relief and their unmet need would continue to increase. In those cases where campuses attempt to address students with unmet needs by allowing them to work the same number of hours, without an adequate increase in authorization and appropriation levels, fewer grants and work opportunities to help less needy middle income students would be available.

Our schools have responded to tight budgets over the last few years by being innovative in developing new work programs for students on and off campus and we will continue this effort as fiscal constraints prevail. However, we do request that the College Work Study Program receive increased authorization levels to meet the demand of increased federal minimum wage.

Earlier I spoke about the value that the student professional community puts on community service programs and suggested that combining the three existing programs would save dollars, improve efficiency, and increase participation in community service initiatives. This is the most effective way to ensure that the community service learning programs become an integral part of the work-study program at the campus level and that students have adequate opportunities to work in community service jobs.

The administration's reauthorization proposal to move community service learning to the 1000 Points of Light concept adds another level of complexity to these initiatives and takes the program from the hands of student employment professionals who have a proven track record of effectively helping students perform community services.

An example of this was demonstrated a few years ago when our membership responded quickly and responsibly to the need to be creative with a new program called the Job Location and Development Program. This program allows institutions to find jobs on and off campus for aid and non aid students who need to work. In eight years the program grew from 144 to 602 participating schools, student participation rose form 13,681 to 315,597, and earnings in that period went from $22,000,000 to over $500,000,000. We are well on our way to taking community service programs on that same upward progression now that a majority of the initial development has been completed. To transfer this program to another area would be a mistake.

In addition, monies have already been identified for this purpose and no further dollars are required. The money is currently available under the reallocation of Work-Study funds. Current legislation provides that 25% of all excess funds be reallocated to the development of the Community Service Learning Program (CSLP), and 75% to assuring academic quality, adequate supervision, and collaboration with public and private nonprofit agencies in developing the CSLP work experiences.

Unfortunately, a drafting glitch, as a result of an amendment in the Immigration Reform and Control Act (IRCA) of 1986, has rendered the literal reading of the 75% provision meaningless. Therefore, the Department of Education has ignored this part of the legislation and has reallocated 75% of the excess in the same manner as funds are reallocated under the Supplemental Education Opportunity Grant (SEOG) Program.

The National Association of Student Employment Administrators recommended amendment straight forwardly reallocates 100% of excess funds to the program, without differentiating between activities.

At the request of Chairman Ford and Mr. Coleman NASEA provided the subcommittee with suggested amendments pertinent to the College Work Study Program. The following is an abbreviated version of those suggestions:

1) Change the name of the program from "Work-Study Programs" to "Federal College Work Opportunity Programs."

The name "College Work-Study" suggests to many students that they can either work or study for an hourly wage. As first used the term meant that needy students could participate in a program that allowed them to go directly from the classroom to a job that was sensitive to their class schedule and that would allow them to earn money to apply toward their college education. Unfortunately, this concept has eroded into a false sense of work or study and has led students to take the work aspect of the program too lightly. No matter how strenuously the regulations are stressed, the term "work-study" is misleading.

The new name has the additional benefit of clearly delineating that the program is provided by the Federal government and with mainly Federal funds.

2) Increase authorization levels for the college work-study program to meet the demands of the increased Federal minimum wage.

As of April 1, 1991, the minimum wage increased to $4.25 an hour, a 27 percent increase over the $3.35 minimum wage in effect when the authorization levels were set in the 1986 Higher Education Act. The requested authorization mirrors the percentage increase in minimum wage. The minimum wage increase, along with increased levels of expenditures for Job Location and Development Programs and various community service programs under the college work-study legislation, threatens the ability of campuses to meet the financial needs of students. Without an adequate increase in the authorization (and eventually appropriation) levels, students will have to work fewer hours, because of budget constraints of campuses while their unmet need will continue to increase; thereby, receiving no monetary relief through the increased hourly wage. Also, in cases where campuses attempt to address those student with unmet needs, fewer grants to students would be available thus eliminating the less needy (middle-class) students from the work-study programs.

3) Reallocate all excess funds to the Community Service Learning Program.

The current legislation provides that 25% of all excess funds be reallocated to the development of the Community Service Learning Program (CSLP), and 75% to assuring academic quality, adequate supervision, and collaboration with public and private nonprofit agencies in developing the CSLP work experiences.

As previously mentioned, the drafting glitch which occurred in an amendment to the Immigration Reform and Control Act (IRCA) of 1986 rendered the literal reading of the 75% provision meaningless. As a result the Department of Education has ignored the original intent of this legislation. We, therefore, recommend an ammendment which straight forwardly reallocates all excess funds to the CSLP, without differentiating between activities.

4) Eliminate the limitation on the amount an institution can use for Community Service Learning Programs.

The current legislation allows institutions to use only 10% of their College Work Study funds for the CSLP. This ties the program to both limited and unstable funding from year to year because of changes in the funds available to campuses on a year-to-year basis. It also discourages participation by both employers and institutions. Institutions that are committed to maintaining student and employer participation in CSLP need to be able to ensure continuity in funding and should have the flexibility to do so.

5) Increase the $200 earnings overaward tolerance to $300 and make it applicable to all students receiving college work-study, including those who also receive student loans under Part B.

With the increase in minimum wage and institutional budgets since 1986, a $200 overaward now can be reached within one pay period. This does not allow adequate time for readjustment of work schedules. A $300 allowance -- approximately the same percentage increase as has occurred in the minimum wage -- would provide the needed time.

In addition to increasing the overaward, this amendment also corrects a misinterpretation by the Department of Education of the provisions of the 1989 Omnibus Budget Reconciliation Act. That Act provided that any overawards to students, with loans under Part B, would be used toward payment of the loans. The Congress did not intend for this provision to override the overaward allowance for CWS, but it has been interpreted as doing so. [See also the conforming amendment to section 428G.]

6) Allow institutions to earmark succeeding fiscal year allocations for wages earned after the end of the current academic year, but prior to the beginning of the succeeding fiscal year.

Many students begin summer work-study prior to July 1, the beginning of the fiscal year, but after the academic year ends in May or June. They therefore earn funds during one fiscal year which are not payable until the succeeding fiscal year.

The statute allows the Secretary to make "carry back" grants from the anticipated succeeding fiscal year's appropriations, but institutions can not use the succeeding year's appropriations to pay for prior year earnings. As a result, institutions incur enormous accounting and tracking problems.

They are forced to retain, rather than use, a portion of the current fiscal year funds in case they are needed to cover summer work expenses. If the monies are retained, but subsequently not needed, it is too late to return them to be reallocated and they revert to the U.S. Treasury. This amounts to several million dollars in returned funds each year.

7) Increase the Federal share for the Job Location and

Development (JLD) Program from $30,000 to $50,000 and separate the JLD Program from the Community Service-Learning JLD Program.

Most institutions already match more than 50 percent of the $30,000; a tribute to the program's success. An increase would encourage even more participation by institutions and employers and provide work opportunities for students.

8) Merge the existing community service learning program and the community service learning job location and development program into one program.

One program with identical funding formulae and sources and administrative allowances would be less complex administratively and would encourage greater participation by colleges and universities. This is the surest way to ensure that community service learning programs become an integral part of the work-study program at the campus level and that students have adequate opportunities to work in community service jobs.

I would like to thank the committee for the opportunity to provide testimony on the work components of the Title IV program. If I can be of assistance in responding to questions or helping the committee by utilizing our association's resources I would be pleased to do so.